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ABSTRACT

This report reviews the background and rationale for a cooperative authority file building system and describes the services, products, and operation of the new Name Authority Cooperative (NACO). The document defines the relationship between NACO, other Library of Congress (LC) cooperative projects, and the Linked Systems Project (LSP). The document comprises: (1) a brief description of how the NACO service will be operated by LC, including what will be included in the NACO name authority file, how various types of libraries will contribute to the file or use the records, and how LC will manage the project; (2) delineation of the factors that will be considered in selecting libraries to participate in the ongoing maintenance of NACO; (3) a description of the quality review procedures and standards that will be applied to records; (4) a description of what still needs to be done before NACO begins to function, and an outline of the relationship of NACO to LSP. Appendices include: a report from a 1979 meeting that presents the background and rationale for the project; revisions of the "Requirements Statement for the Name Authority File Service"; results of a survey conducted in 1982 to ascertain the likely use of such a service and the features that would be most useful; and a glossary. (THC)

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THE NAME AUTHORITY COOPERATIVE/ NAME AUTHORITY FILE SERVICE

Task Force on a Name Authority File Service

Bibliographic Service Development Program

The Council on Library Resources, Inc.
1785 Massachusetts Avenue, N.W.
Washington, D.C. 20036

May 1984

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CONTENTS

	PAGE
PREFACE	v
CHAPTER 1. BACKGROUND AND OVERVIEW	1
CHAPTER 2. NACO OPERATION	5
CHAPTER 3. SELECTION OF CONTRIBUTORS	13
CHAPTER 4. QUALITY REVIEW STANDARDS	17
CHAPTER 5. IMPLEMENTATION	21
APPENDIX A: AN INTEGRATED CONSISTENT AUTHORITY FILE SERVICE FOR NATIONWIDE USE	27
APPENDIX B: REQUIREMENTS STATEMENT FOR THE NAME AUTHORITY COOPERATIVE	33
APPENDIX C: PROPOSALS FOR QUALITY CONTROL	51
APPENDIX D: RESULTS OF THE NAFS SURVEY	63
APPENDIX E: GLOSSARY	123

PREFACE

The cooperative authority file building system described in this report reflects several years of effort by many institutions and individuals. Work began with a meeting of specialists in 1979 to consider all aspects of authority work, the keystone of our bibliographic structure. The objective envisioned then -- an integrated, consistent authority file available to all libraries -- is, at last, nearly at hand. By using technology effectively, by building on established procedures and structures (and adding new ones where needed), and by enlisting the help of many institutions, great progress has been made. While it is gratifying to report progress, it is also instructive to realize the large amounts of time, effort, and funding needed to reach what would appear to be a relatively straightforward objective.

Once in place, the Name Authority Cooperative described in this report will mark milestones both in cooperation and in harnessing technology for library purposes. In essence, by using technology, this project expands the capabilities of an existing cooperative project to make the sharing of authority data easier and more timely. In particular, the Linked Systems Project, a related CLR funded venture to develop standard protocols for communication among computer systems, has provided the means for this specific activity. The protocols that have been developed will facilitate many other cooperative projects as well.

This report reviews the background and rationale for this project and describes the services, products, and operation of the new Name Authority Cooperative. It updates an earlier publication (Requirements Statement for the Name Authority File Service, 1981) by presenting new information, revised terminology, and substantive changes, along with plans for further development. This report is distilled from mountains of working papers and special reports that have been prepared in the process of getting to this point.

On behalf of the library community, we acknowledge with gratitude the contributions of many who have participated in this project, both directly and indirectly, over the past several years. This includes those who participated in the initial meeting five years ago, members of the Task Force on a Name Authority File Service, NACO participants and LC staff, those who reviewed earlier documents, those who responded to the task force's 1982 survey, LSP staff, and many others.

Warren J. Haas
May 1984

CHAPTER 1

BACKGROUND AND OVERVIEW

Before the project described in this document began in 1979, an integrated, consistent name authority file, available to all libraries, had long been considered by many to be a critical element in a nationwide library and information services network. Cataloging information was being shared successfully among libraries, and the next logical step would be the sharing of authority work, the most expensive part of the cataloging process. But it was not obvious how to create and implement such a name authority file, available to all libraries, to enable that sharing of records.

To review authority issues and to try to find a way of making progress toward a national name authority file, the Council on Library Resources, as part of its Bibliographic Service Development Program (BSDP), sponsored a meeting in September 1979 and invited representatives of shared cataloging systems, major libraries, and other organizations. From the discussions, it became evident that there was some agreement that it was both desirable and possible to establish an authority file for nationwide use. (Appendix A summarizes much of the discussion at that meeting.)

As a result of that meeting, the Council's BSDP appointed a Task Force on a Name Authority File Service to initiate and coordinate the planning and review required to establish an authority file service for the nation. Over the next four years, that task force would develop procedures for building and

maintaining such a file, general and specific requirements for the service, and various sets of recommendations on such topics as quality control and selection of contributing libraries. Task force members would also work closely with LC staff involved in the Name Authority Cooperative (NACO) project and with LC, RLG, and WLN staff involved in the Linked Systems Project (LSP).

Various working documents have resulted from the work of the task force, including the 1981 Requirements Statement for the Name Authority File Service, which was widely distributed for review and comment by librarians and others. Several presentations, both formal and informal, have been made at library meetings and conferences to keep others aware of progress of the task force. In 1983, as implementation began, all the authority projects involved were brought together under the name NACO.

This document describes the current status of plans for NACO, how the service will operate, and the remaining steps until it is up and running in 1984. The document also makes clear the relationship between NACO, other LC cooperative projects, and LSP.

The document consists of several parts:

Chapter 2 briefly describes how the service will be operated by LC, what will be included in the NACO name authority file, how various types of libraries will contribute to, or use the records of, the name authority file, and how LC will manage the project.

Chapter 3 describes the factors that will be considered in selecting libraries that will contribute to and participate in the ongoing maintenance of NACO.

Chapter 4 describes the quality review procedures and standards that will be used to assure a high quality of records on the system.

Chapter 5 describes what still needs to be done before the system is up and running, and outlines the relationship of NACO to LSP.

Appendix A is the report that grew out of the September 1979 meeting to discuss issues; it presents an overview of the background and rationale for the project.

Appendix B is a revision of the Requirements Statement for the Name Authority File Service, the report that was issued in early 1981 to define the desirable general and technical requirements for such a service.

Appendix C is a revision of part II of that report. It suggests quality control methods for insuring that records in the file meet accepted standards.

Appendix D presents results of a survey conducted by the task force in 1982 to ascertain the likely use of such a service and the features that would be most useful in it.

Appendix E is a glossary.

CHAPTER 2

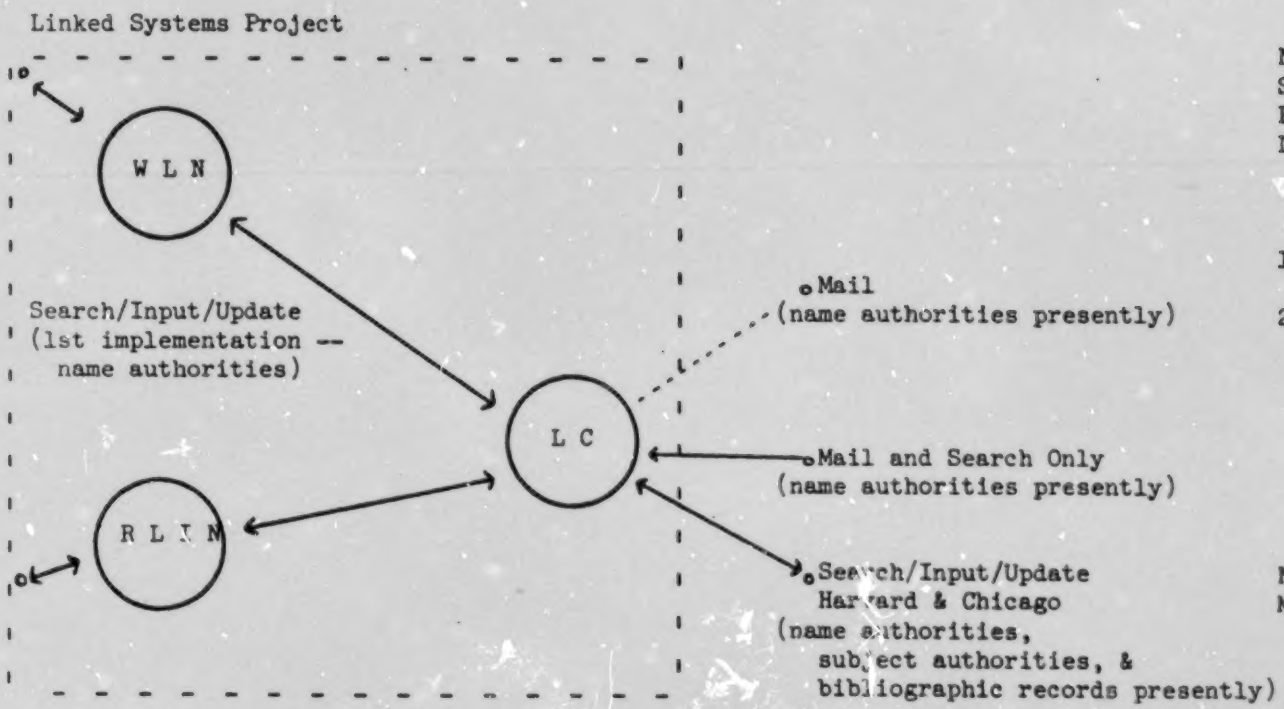
NACO OPERATION

The Name Authority Cooperative (NACO) is the first phase of a Cooperative Data Base Building System (CODABASE) being implemented and maintained by the Library of Congress. In addition to name authority records, CODABASE will eventually include subject authorities, bibliographic records, and location records. Selected participating libraries will contribute records by mail, by terminals online to LC's system, or by communications link with the network utilities. Management of both technical and bibliographic aspects will be provided by LC. Figure 2.1 is a schematic diagram of CODABASE.

For the NACO implementation, the master name authority file will be stored on the LC computer system and will be maintained as an online file. Name authority records will be available on tape through the MARC Distribution Service and on microfiche through the COM publication: Name Authorities Cumulative Microform Edition. Other products may be made available as needed. The distribution of all these products is known collectively as the Name Authority File Service (NAFS). The name authority file may also be available online through the network utilities.

The name authority file will include records for names, uniform titles, and series. These authorities will be used to control headings in the

Figure 2.1
Library of Congress
Cooperative Data Base Building System
(CODABASE)



Record Types

Name & series authorities=NACO
Subject authorities =?
Bibliographic records =?
Location records =?

Criteria

1. Participants selected by LC
2. Each cooperative effort may or may not have different participants

Products

Name Authority File Service
MARC Distribution Service

books, serials, music, maps, films, and NUC data bases at the Library of Congress. The file will also be useful for other libraries who wish their cataloging to conform to national practices and standards.

Initially, the file will include full LC authority records, full records contributed by other libraries, and "early notice" or "preliminary" records. The latter group will include preliminary records input by LC catalogers and records created for headings in NUC reports. Contributing libraries may also input preliminary records prior to submitting the finished record. Preliminary records input by LC catalogers and contributing libraries will be updated to full records when the cataloging is completed. Preliminary records input by NUC will be updated to full records the first time they are needed for use by LC catalogers or contributing libraries. The file will initially contain all records input by LC since 1976 and all records contributed by the libraries already cooperating with LC in the NACO project. Most of the records will be in AACR 2 form. However, the file will also contain some headings input before January 1981 that have not yet been evaluated to see if they conform to AACR 2. These records are flagged.

Contributing libraries may participate in one of three ways.

1. Libraries may submit authority data sheets which will be input to the file at LC. (NACO/Mail) These libraries will be responsible for searching both the LC authority and bibliographic files to make sure that the headings submitted are not duplicates and do not conflict with headings already on the LC file. For this purpose libraries will search the files at one of the network utilities, their own online files, or the name authority file on COM issued by the Library of Congress. Some libraries may be online to LC for searching only. This method is essentially the same operation now

being carried out by the existing LC Name Authority Cooperative Project (NACO).

2. Libraries may be online to LC for searching, input, and update. (NACO/Terminal) Under this method, libraries will have a terminal-to-computer link. These libraries will use the LC input and update system to enter authorities directly to the LC data base. Each library will search the name authority file and the bibliographic file. If the heading is on the name authority file, the library will use it unless a modification is needed. Contributing libraries will be able to add or modify cross references. If a library wishes to change a heading it will confer first with LC. Only LC will have the ability to delete a record. If the heading is found on a bibliographic record, but not on a name authority record, the library will create a new authority record and input it to the file.

3. Libraries may be online to a network utility (i.e., RLIN or WLN). (NACO/LSP) Under this method, each utility will maintain a complete copy of the authority master file. Records input to the LC master file will be sent within 24 hours via a computer-to-computer link to the utilities holding copies. In turn, records input to the utility file will be transmitted to LC on the same schedule. Cooperating libraries will perform essentially the same operations as those who are directly online to LC but will use their own utility files for searching, input, and update.

When LC or a cooperating library wishes to change a record, a flag will be set in the record and this information will be transmitted to the master file and each copy file. This will serve as a notice to all libraries not to try to make changes to the record until the first update is completed.

When the change is completed, the library making the change will remove the flag from the record.

LC will serve as the bibliographic monitor for all participating libraries. LC will provide training and then will review all records submitted by a new library until that library's work meets agreed-upon standards. After this LC will monitor the contributing library's work by sampling.

Participants will initially include the current NACO libraries. Other libraries will be selected based on such factors as quality of cataloging, quantity of original cataloging, and successful participation in past cooperative projects (as described in chapter 3). For the foreseeable future, the number of libraries directly online to LC will be limited to avoid contention for LC's own requirements.

NACO MANAGEMENT

I. The Library of Congress will serve as Authority Manager and Technical Manager of NACO.

A. As Authority Manager, LC will be responsible for:

1. Developing bibliographic policy and quality and quantity standards (quantity will be negotiated on an individual basis with each participant);

2. Selecting NACO participants in consultation with NACPAC (see IIE below);

3. Providing bibliographic training conducted at LC and distributing pertinent documentation, including rule interpretations and procedural manuals. (The Authority Manager will review authority records created during a new participant's qualifying period and at other times as appropriate; continued

assistance in training will be provided whenever necessary); and

4. Providing quality control, primarily through sampling, and monitoring quantity of records submitted by the participants through review of statistical data regarding receipts. (The Authority Manager will consult with participants regarding problems. Communication between the Technical Manager and the participants will be via electronic message service, telephone, or mail as appropriate.)

B. As Technical Manager, LC will be responsible for those activities that provide support to the operation of the master file. Within this general responsibility are a number of specific activities:

1. Providing computer and system resources to support the building of the name authority file;

2. Providing online access to the data base for selected contributors;

3. Providing offline products (including tapes and microforms);

4. Providing systems training for online participants; and

5. Providing statistical data.

II. To advise LC in the management of NACO, a Name Authority Cooperative Participants Committee (NACPAC) will be formed.

A. The membership of NACPAC will comprise individuals from the agencies authorized to participate in NACO. Each such agency may designate two representatives, one to speak on behalf of its administrative policies and the other on behalf of the ongoing activities of its NACO operation. Optionally, if an agency is unable or unwilling to sponsor two representatives, it may instead appoint a single individual as its

representative. For voting purposes, only one representative from any agency may cast ballots.

B. NACPAC will be responsible for advising the Library of Congress about policy matters in regard to the creation and maintenance of the name authority file and distribution of resulting records by:

1. Serving as a forum to discuss NACO operational matters;
2. Making recommendations concerning NACO policies and procedures; and
3. Assisting LC in selection of agencies for NACO participation (see IIE below).

C. The chairperson of NACPAC will be appointed by the Library of Congress from among its staff. This person will preside over meetings of the group; call, schedule, locate, and establish the agenda for such meetings; see that minutes of meetings are prepared and distributed, that correspondence is processed, and that official records are maintained properly; and appoint subcommittees and task groups as necessary to achieve NACPAC purposes.

D. Normally, the NACPAC will meet twice annually, usually in conjunction with the Annual Conferences and Midwinter Meetings of the American Library Association.

E. A standing Subcommittee on Membership will be established from among the representatives to NACPAC for the purpose of assessing the qualifications of any agency that applies for NACO participation and recommending to LC whether or not it should be selected. The membership of this subcommittee will comprise two persons elected from NACPAC, but no more than one from any agency, to serve one two-year term, in addition to a

representative designated by LC from among its staff who will serve as chairperson.

CHAPTER 3

SELECTION OF CONTRIBUTORS

The Name Authority Cooperative is intended to be the authoritative source of name headings and associated information for American libraries, enhancing the present Library of Congress service. NACO will allow this service to be broadened by including headings established by other libraries. These headings would include many that LC itself would not normally establish or that LC could not establish in a timely fashion. Furthermore, these additional libraries will participate in the ongoing maintenance of the resulting file. Thus, NACO is an extension of what LC is now doing and will be implemented under the supervision of LC. The headings established or updated by the contributing libraries will be accepted by LC, and the library community will expect at least the same level of quality as that provided by LC.

Thus the selection of contributing libraries is of utmost importance, since only libraries that are able and committed to maintaining the highest standards in their authority work will be able to perform at the level required by NACO. Because resources required for training staff of contributing libraries and for coordinating the service will be limited, it will also be essential to limit the number of libraries that participate. Objective criteria are required for the selection of these libraries, including a measure of the potential usefulness of a library's contributions.

Selection will be made by LC in consultation with the NACPAC Subcommittee on Membership.

A. BASIC CONDITIONS FOR PARTICIPATION

(1) The prospective contributor must demonstrate a willingness to contribute time and expertise to the program.

(2) The prospective contributor must be willing and able to adhere to the standards and procedures established for contributors to the service.

(3) The applicant must be willing and able to send, at its own expense, selected members of its staff to the Library of Congress for initial training in NACO standards and procedures, for a total period of approximately three weeks.

(4) The applicant must be willing to serve a qualifying period, followed by a commitment of not less than eighteen months as a full-fledged contributor. Only a fiscal emergency or the loss of the necessary staff expertise would be grounds for early resignation from the program.

B. CRITERIA FOR SELECTION

In selecting participants in NACO two major goals will be sought: (1) to provide for the highest possible quality of contribution and (2) to provide for the broadest possible coverage of the service as a whole. The NACPAC Subcommittee on Membership will help LC monitor coverage and evaluate applicants against the apparent gaps it perceives. Following are the major criteria that will be used for evaluating potential contributors. They are not ranked in any particular order. However, the greater the number that can

be met by a particular library, the greater the desirability of selecting that library.

(1) Quality of cataloging. This, of course, is a subjective measure, but, if necessary to limit the number of contributors, a committee of peers may be convened by the NACPAC Subcommittee on Membership to judge the quality of a random selection of each applicant's cataloging. Factors to be considered will be the accuracy of the library's cataloging (including MARC coding), the completeness of its records, the kind of training given to its staff over the years, and the way it has distributed information about LC practice to its staff.

(2) Amount of general original cataloging done over the previous year. No minimum number of titles will be established, but a higher preference will generally be given to libraries that do more cataloging and to those more likely to be establishing headings that at least one other library in the country will use.

(3) Amount of cataloging of materials from or concerning one or more geographic areas. Preference should be given to libraries that can contribute in more than one such area.

(4) Amount of cataloging in one or more special subject areas. The sometimes unique expertise of special libraries or libraries with limited missions should be available to the cooperative.

(5) Whether or not the library regularly establishes headings for federal, state, or -- in some cases -- local government agencies.

(6) Successful participation in past cooperative projects, particularly those in which the library established name headings.

Other criteria may be established by LC in consultation with the NACPAC Subcommittee on Membership if experience demonstrates the need. Numeric weights may be associated with each criterion if the selection process proves difficult to carry out lacking such precision. It is recognized that

subjective factors are difficult to quantify. Nevertheless, numeric scoring may be a means of helping to maintain confidence in the selection process. It is important for the success of NACO that there be such confidence.

C. CRITERIA FOR CONTINUATION AS A NACO CONTRIBUTOR

Prior to the end of the commitment period, the performance of each contributor will be evaluated. This evaluation will be based upon both the quantity and quality of authority work contributed to NACO, the latter based upon the degree to which the contributor has met the NACO standards of quality (as described in chapter 4). If the contributor's work is deemed to be substandard, a new qualifying period may be imposed. An extension of full participation will be granted if the contributor succeeds in meeting an acceptable level of quality during the qualifying period.

The quality of a contributor's input will be determined on the basis of the extent to which the contributor meets the standards defined in Chapter 4, Quality Review Standards.

CHAPTER 4

QUALITY REVIEW STANDARDS

Quality review is an important cornerstone for the building of the name authority file. The long-term usefulness and integrity of the file will, in large measure, be determined by the consistent application of commonly defined rules and procedures by the contributing members.

The NACO quality review process will consist of the policies stated below and will be built on the criteria and procedures stipulated in Appendix C, "Proposals for Quality Control." The quality review agent for the cooperative will be the Library of Congress, which will apply the standards and criteria; provide definitions and explanations that further clarify or define standards; and participate in the development and refinement of new policies as necessary.

The quality review of records contributed to NACO will measure and separately record two aspects of quality: cataloging and MARC coding.

A. Quality of Cataloging

Minimum acceptable cataloging quality will be 0.4 error points per record processed, including both newly contributed records and records modified. Error points will be assessed as follows:

Access point errors -- Since errors in access points can cause multiple problems for consistency in linking records and bibliographic

records, any error in an access point will be counted with a weight of three error points.

Non-access point errors -- Minor errors, defined as any error in non-access point data, will be counted with a weight of one error point.

B. Quality of MARC Coding

The quality of MARC coding will be expressed in terms of an accuracy rate, which will be calculated by dividing the number of error-free records in a sample by the total number of records in the sample, and then multiplying the result by 100. The minimum overall accuracy rate will be 96 percent. The minimum accuracy rate for access point fields and certain fixed fields, however, will be 98 percent.

NACO Quality Control may include two types of review: (a) regular review of each contributing member's input through the use of periodic samples, and (b) periodic review of segments of the entire database for special problem areas or general review for overall consistency and integrity.

The Library of Congress will be responsible for initiating contributing member review on an ongoing basis. The Library of Congress will act as coordinator for periodic reviews of the database, and contributing members may be assigned or select responsibility for review of a segment of the file.

CONTRIBUTING MEMBERS

Since all contributing members of NACO have agreed to follow the general rules and specifications of the project, each contributor will:

(1) Participate in a training phase, which includes resident training at the Library of Congress.

(2) Have up to 100 percent of their initial work reviewed and revised for an average period of six months but not to exceed one year.

(3) Have regular sampling and review of their records by the Library of Congress, which will determine the contributor's level of performance in the project.

(4) Participate in periodic reviews of the name authority database to improve consistency control or to implement corrections for special problem areas identified by the Library of Congress and/or contributing members.

SAMPLING

A sample of the records of each contributor will be reviewed periodically to determine the quality of cataloging and MARC coding. Valid samples, as defined by a statistical consultant to the Library of Congress, will serve as the basis for this quality review. Contributions of all participants will be sampled at least once a year. If a quality review reveals that a contributor's records do not meet minimum requirements for either cataloging or MARC tagging, review on a 100 percent basis may be initiated. This full review may be limited to only the deficient aspect of quality.

ERROR REPORTING

Comments and suggestions on errors in specific records from users of the NACO file shall be reviewed by the Library of Congress. Primary emphasis shall be placed upon the review of comments [illegible] access points.

CHAPTER 5

IMPLEMENTATION

Parts of the NACO file building system are already in place. As described above, a cooperative name authority file is being built by LC and a few other institutions through direct creation of authority records into LC's online system and by input of authority records at LC from authority work sheets submitted by participants. The value of NACO will be greatly augmented by the physical facilities being planned and implemented under the Linked Systems Project (LSP). This project is a joint undertaking of the Washington Library Network, the Research Libraries Group, and the Library of Congress. The capabilities implemented under the LSP will make it possible for libraries with terminal links to the authority systems at WLN and RLIN to create authority records for the NACO file on those systems. These records will then be added through computer-to-computer communication to the master NACO authority file at LC. Through those same communications channels, the contributors will have both access to an up-to-date copy of the NACO file on their own systems and the ability to access it and other files held on the other participating systems.

There are several components to the building of computer-to-computer links that allow the extension of NACO to this form of contribution. The LSP planning phase took place between spring 1980 and spring 1982. The work during that period and continuing into the current implementation phase

divides into three parts -- establishment of a basic telecommunications link between systems, adjustment of application facilities so end users may access applications at other sites, and establishment of procedures.

For the telecommunications link, standard protocol models being developed by the International Organization for Standardization (ISO) have been used in order to maximize the potential for future use of the link. Work on implementation of the telecommunications part, called LSP/Standard Network Interconnection (SNI), is scheduled to be completed in December 1983. At that point, the computers at the three sites will be able to communicate only: the changes to the end application programs that process and manipulate the communicated data will not be completed.

For use of this link in NACO, the second part of the LSP is required. It includes the adjustment of the application programs at each site so that the communicated data can be accessed and manipulated by users. This is being implemented under the LSP/Authorities Implementation (AI). During the planning period for LSP/AI several models were analyzed that would bring about consistency of authority data among the three sites. The NACO model with a master file at one site and contribution/distribution links for the three sites was selected. All three sites will also support intersystem search by their users. The projected completion of the application facilities is the late spring of 1984. At that time, at the three sites, terminal users will be able to search each other's systems and the systems will transfer records over the new computer-to-computer links between them.

The final part of the implementation of NACO/LSP is the procedure that will be followed for the orderly building and use of the cooperative NACO file. Requirements were outlined by the original NAFS Task Force. The

procedures and experiences LC has had with NACO in its other forms will be useful. In addition, NACO in its present form will be used to test new procedures over the next year.

Thus, by mid-1984, computer-to-computer interaction with the NACO Master File will be possible. The following characterize and differentiate it from the other forms of contribution.

(1) Record creation will take place on the participant's utility, not necessarily on the system responsible for the NACO Master File. The record creation facilities will thus be those already familiar to the user.

(2) The authority records created on the different utilities will be sent to the NACO Master File at LC via the computer-to-computer links. This activity will be carried out by the systems and will not involve the participant.

(3) The contributions to the Master File will be validated by computer and if they fail to pass, the utility on which they originated will automatically be informed and the necessary corrections will be made on that utility. The record may be resubmitted to the Master File.

(4) The contributions to the Master File will be distributed over the computer-to-computer link to the utilities. This activity will be carried out by the systems and will not involve the participant.

(5) Any participant will be able to update or change a record on its own utility with the change being sent over the link to the Master File.

(6) The participant on any of the three systems will be able to search the other systems using the search syntax of its own utility. The response will also be displayed in the format that is standard on the participant's utility.

APPENDICES

APPENDIX A

AN INTEGRATED CONSISTENT AUTHORITY FILE SERVICE FOR NATIONWIDE USE

The following article from the Library of Congress Information Bulletin (39(28):244-248, July 11, 1980) describes the rationale for development of the Name Authority File Service.

APPENDIX

An Integrated Consistent Authority File Service for Nationwide Use

Bibliographic Service Development Program
Council on Library Resources, Inc.

[**Editor's Note:** The following report is an internal working document of the Council on Library Resources' Bibliographic Service Development Program. In the interest of giving wide dissemination to the ideas contained in the document, the Library of Congress has agreed to publish the report in the LC *Information Bulletin*. The Council would welcome any comments on the report and these should be addressed to C. Lee Jones, Program Officer, Council on Library Resources, Inc., One Dupont Circle, N.W., Washington, D.C. 20036.]

In recent months, many of those persons who have been involved in establishing pieces of the projected national library and information service network have become convinced that an important, indeed critical, component will be an integrated, consistent authority file. An authority file contains the words, terms, and cross references—the access points—that impose consistency on files of bibliographic data. Consistent files with clearly established access points are, of course, much easier for users to search. The authority file that these network planners have in mind would contain records contributed by a variety of institutions and created in accordance with established rules and procedures. It would be available for use nationwide. Building such a file would reduce the aggregate costs of authority work by the sharing of authority records; in addition, it would assist in the creation of more consistent bibliographic records, which, in itself, would improve current shared cataloging efforts.

Authority work is the most costly part of the cataloging process. While much cataloging information is now successfully shared, the means for sharing the most expensive product, the authority work, has not been established. This paper describes a project to establish, build, and maintain an authority file service.

The following pages contain a description of the present environment and basic concepts involved in implementing an authority file service. The rationale for the proposed approach is explained and the general requirements of the system are identified. A suggestion is made concerning the administration of such a service. Finally, a proposal for implementing the project is presented.

For purposes of clarity, definitions of terms used in this paper appear in an appendix.

Background

For most of their history, libraries generally have constructed their catalogs using two basic authority control files—one maintained at the Library of Congress (LC) and separate ones maintained within each library. When a library accepts the authority or access points in an LC bibliographic product, it relies upon the authority work carried out by LC. But when such a library has to catalog an item and create access points for which LC authority data cannot be found, it must establish an authority mechanism of its own.

Shared cataloging systems such as OCLC, Inc., RLIN (Research Libraries Information Network, which is operated by the Research Libraries Group), and WLN (Washington Library Network) provide an opportunity to build an integrated, consistent authority file system. However, until recently, discussions relating to such a development had been diffuse and not encouraging. In September 1979, a meeting of representatives from the major shared cataloging systems (OCLC, RLIN, and WLN), the Library of Congress, the National Library of Medicine, and the National Agricultural Library (the last three hereafter referred to as the national libraries), and the Council on Library Resources (CLR) took place. At that time a change in attitude, even a change in commitment, became apparent. Each institution was represented by a senior policy officer (with one exception), a senior computing expert, and a senior bibliographic policy officer. They agreed, in general, on four points:

(1) It is possible and desirable to establish and share an integrated, consistent authority file for nationwide use.

(2) It is possible and desirable to develop a set of procedures for building and maintaining such an authority file.

(3) It is possible to develop a set of general and specific requirements for an authority file service.

(4) It is possible to develop a set of design elements for authority control systems.

The September meeting yielded other points of agreement as well. First, LC should accept responsibility for the management of procedures for building and maintaining the file. Second, some agency, not necessarily LC, must physically maintain the authority file and provide access to it. Third,

some agency, probably not LC, but possibly CLR's Bibliographic Service Development Program (BSDP), should begin to stimulate the processes required to create an authority file service that will be available nationwide

In October 1979, CLR's BSDP Program Committee went on record as supporting a concept embodied in a proposal, submitted by the Research Libraries Group (RLG) and the Washington Library Network, that would provide these two institutions with the capacity to build and maintain an integrated authority file. The Program Committee also encouraged CLR staff to continue work toward an integrated authority file.

The Present Environment

Authority work is carried on in many institutions but historically there has been no strategy to coordinate these efforts. it will be useful to note some of the major authority activities now under way.

The Library of Congress continues to produce high quality bibliographic records that are under authority control and are used in nearly every shared cataloging effort in this country and, to some extent, abroad. The authority control system at the Library of Congress is largely a manual system, although now the authority records produced are converted to machine-readable form. LC began sharing its machine-readable authority records in 1977, when the subject heading file was first distributed through the MARC Distribution Service. Name authority records have been distributed since 1978, and LC's machine-readable name authority file is available for on-line searching at LC. Only part of the total LC authority file is in machine-readable form, however. Many thousands of retrospective name authority records are still maintained in card form.

The other two national libraries, the National Library of Medicine (NLM) and the National Agricultural Library (NAL), each have authority files separate from that at the Library of Congress and from each other. In addition to the traditional authority conventions of the library community, NAL perceives certain obligations to conform to the authority conventions followed by the abstracting and indexing community. There have, however, been discussions among the three national libraries on developing joint authority files.

The major bibliographic utilities have approached the issue of authority control in different ways. OCLC does not now provide authority control over records in its bibliographic data base, although it does provide for its subscribers search only access to name authority records distributed by LC.

The Research Libraries Group's RLIN is committed to establishing an authority control system that will link the authority and bibliographic records in its files. Work on that system is under way with completion targeted for late 1980. A sophisticated off-line authority control system has been used by the New York Public Library (NYPL) to produce its own book catalogs for several years. This file will become part of the RLIN authority file.

The Washington Library Network is unique among U.S. networks in that its authority control system is on-line, and provides machine checks of new headings contributed to the data base. There is a manual verification process for all headings identified by machine as new entries into the WLN authority file. (The University of Toronto Automated Library System is a Canadian network with authority control characteristics that are similar to WLN.) As with other authority control systems, WLN's continues to evolve. Because both the NYPL and WLN authority systems preceded the creation of the LC MARC communications format for authority records, their authority formats are not fully compatible with that of LC.

In addition to the bibliographic utilities, there are some institutional systems that incorporate authority control, most notably those of the University of Chicago and the National Library of Medicine. There are also bibliographic services provided commercially that incorporate some degree of authority control over records. Again, to the extent that LC bibliographic records are used, these systems have an implicit control of access points. When records not generated by LC are used, access points may or may not be controlled, depending upon the system.

A common thread in the present bibliographic environment is the LC MARC bibliographic record and the consistency it gives other files because of its integrity. However, at present, none of the agencies with authority systems share authority data in an on-line mode with any other agency.

The Concept

The concept is a simple one: build and maintain an integrated, consistent authority file using contributions from selected institutions operating on-line to a single computer-based system. The contributing institutions and others will use the file for local (institution specific) processing requirements although the authority file itself will not carry institution specific data. The file will be made available to the nation's libraries in a variety of formats: for example, printed, microform, and machine-readable. In order to implement this new service, certain technical, procedural, and administrative issues must be resolved.

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The institutions initially selected to contribute to the file will be large, general, research-oriented libraries (academic, public, special) because the capture of the authority work performed by a carefully chosen set of institutions will probably satisfy a large portion of the nation's authority requirements. Contributing institutions will include those reflecting the needs of users of public and state libraries as well as of academic and research communities.

Based upon the September discussions and upon the anticipated capabilities of the RLIN system, it is expected that the authority file will be built and maintained in an on-line mode at RLIN with LC's participation. The RLG/WLN authority control project now under way should provide the background and capabilities to permit RLIN to assume these file management responsibilities. This same project, incorporating as it does the authority work and experience of WLN, may serve to include at a very early stage the needs of public and state libraries.

Though there are both name and subject authority records, this project will be limited to name authorities, including uniform titles and series. The issue of subject authority records will be addressed at a later date.

The LC name authority file will be the base upon which the project is established. There are several other high-quality authority files that may be merged with the LC file including those of NYPL, WLN, Stanford, and Chicago. The prospects for merging these files are being examined by LC, NYPL, and RLG.

LC, in cooperation with the contributing institutions, will establish procedures required for the input and maintenance of authority records. LC will provide necessary training required at each institution to implement the input and maintenance procedures. Since manual authentication of new records is costly and time-consuming (witness the CONSER experience), a method of quality control using machine verification will be explored with sampling techniques employed to test results. Because the objective is to build a single, consistent authority file, and since there are bound to be disagreements between contributing institutions, some mechanism must be found to resolve problems. LC, as the quality control agent, might reasonably assume that role.

RLIN, as the authority file system manager, will be responsible for all aspects of technical performance, such as the systems and computer programs for input, machine validation, and distribution, and will work with the contributing institutions and others to meet requirements for display formats and record access. The authority file which results from this project will be designed so that it can be used by libraries and networks for a variety of library processes such as cataloging and reference.

Once the project is under way, it will be possible to expand purposefully the number of institutions participating in file development and maintenance, either directly or through one of the on-line participants. As examples, LC now has cooperative arrangements with Northwestern University, The Texas State Library, and the Government Printing Office, which are assisting in the establishment of authorities in specific areas.

So far, we have focused on an authority file service. As time and experience permit, it may be possible to expand the work to include more sophisticated procedures leading toward a nationwide authority control system. Such a system would, in effect, link authority records to the specific bibliographic records in which the established terms are used. These procedures need not preclude the development of individual or local authority control systems nor prejudice their continuing usefulness once a nationwide system was in place. The problems and benefits of linking multiple authority control concept are described in more detail in the following section.

General Requirements

If the development of an authority file service for nationwide use is to proceed in an orderly fashion, it is necessary to specify its functional requirements. The work may logically be separated into phases. As noted earlier, establishing and maintaining an integrated, consistent authority file is the initial concern of the current project and constitutes phase one of the work required for the total system. The following requirements one through four relate to this first phase. Requirement five relates to the use of the authority file and constitutes phase two. The final requirement explicitly relates the authority file to bibliographic files, a relationship that would result in an authority control system. Because, on a nationwide basis, this would require sophisticated file relationships between an authority file physically housed in one system and bibliographic data bases distributed among many systems, it is considered a separate (and distant) phase three. Before phase three, individual systems may use the authority file in conjunction with their own system capabilities to link authority and bibliographic records. Requirements five and six are less well understood at this time in a nationwide context.

(1) *Collect authority data.* The integrated authority file is the instrument in which authority data from a variety of contributing sources are collected. Computer hardware and software, bibliographic standards

governing the intellectual content of records, and procedures for adding records to the file must be developed. These elements will permit the creation of the authority records and collection of these records into a single, consistent, logical file housed at a single site. The procedures must ensure conformance to standards pertaining to the bibliographic data and to its presentation (format). Though substantial machine checks are envisioned, sampling techniques must be devised to monitor the verification and validation of additions to the authority file for quality control purposes. By definition, sampling does not provide a 100-percent confidence level in the quality of records in the file. But, if a satisfactory confidence level can be achieved by sampling techniques it is unlikely that comprehensive manual verification will be required. Samples will likely be drawn from records submitted by each contributing institution in order to monitor record quality relative to source of contribution.

(2) *Maintain the authority file.* Authority files are dynamic; they grow in number and change in content as authority work progresses. Thus they are best maintained on-line. Technical facilities and bibliographic procedures for creating, correcting, replacing, and updating records and establishing the relationships that exist between records are all required. Adequate data security mechanisms are also necessary to protect data in the file, that is, to prevent unauthorized sources from adding or modifying records. Machine editing and search capabilities should support the use of the authority file, using sophisticated techniques for automatic alerting at the terminal of errors and record inconsistencies, and automatic checking of new records against the existing authority records in the file. In later project phases, these procedures could also be used to validate headings in bibliographic records.

(3) *Provide on-line access to authority data.* Institutions will have on-line access to the authority file through a variety of mechanisms. It is anticipated that contributing institutions, which will be permitted to add and maintain records, will also use the file for cataloging and reference activities. Other institutions may have on-line access for cataloging and reference purposes provided they are members of RLG, are linked in some other way to RLIN, or have access to any other shared cataloging system that provides access to the authority file. Access to the authority file will be via standard communication protocols, such as the library applications level protocol (NCLIS/NBS) for communication between computers, currently being refined by ANSC Z39 (American National Standards Committee Z39).

(4) *Provide off-line access to authority data.* Because not all libraries, vendors, and utilities are likely to have on-line access to the authority file, the file will also be made available in other forms such as printed and microform formats, as well as in machine-readable forms such as magnetic tape. Therefore, the technical and bibliographic specifications and procedures to produce these products are required.

The following general requirements go beyond the building of an authority file and deal with the validation of access points in bibliographic records and authority control. These requirements are viewed as future enhancements of the authority file service.

(5) *Verification/validation of entries in bibliographic data.* Entries in bibliographic records will be checked against or derived from the authority file to insure that they are established as headings in that file. They may also require access to at least a portion of the bibliographic record(s) in which the heading has previously been used.

(6) *Establish links between authority records and bibliographic records.* The development of a capability to create and maintain links between authority records and the bibliographic records in which these headings (access points) are used will provide the capacity for consistent access to bibliographic records, the production of a variety of catalogs, and the on-line cataloging process. The system would assure that only established forms from the authority file are used in bibliographic records. This requirement is included as a long-range requirement and may be difficult to implement on a nationwide basis.

Administration

Because this project will involve several organizations each contributing in different ways, a well-defined management structure is essential. The management plans should reflect the cooperative nature of the undertaking and stress effective coordination of effort and continuing consultation among participants. Decisions in two basic areas will be required: those relating to the technical development and maintenance of the file (that is, the hardware, computer programs, screen specifications, and product specifications), and those concerning the bibliographic policy, standards, and procedures, (that is, participants, training, institutional interrelationships, rules, and guidelines).

As the projected manager, RLG must necessarily be accountable to participants for technical management of the authority file since it will physically house and maintain the file and since it is developing internal capacities that allow for the acceptance of this external responsibility. Though RLG will, by virtue of its role in managing the file, have immediate access to it, provision will be made to assure that all other

shared cataloging services and non-RLG institutions have timely, possibly on-line, access to the file. Because of the Library of Congress's position as principal contributor to the file and its current role in analyzing and disseminating information on bibliographic standards, LC has agreed to assume management responsibility for bibliographic policy, standards, and procedures. This alignment of responsibility is consistent with views of participants at the September 1979 authority issue meeting.

Once the authority file system becomes operational, representatives of the contributing institutions, again expected to be a small but diverse group of large, general, research-oriented institutions (academic, public, and special libraries), will form an advisory group to the project. These institutions will take an active part in advising on the continuing growth and maintenance of the system. RLG and LC will coordinate the input from these participants, act as arbiters in decision making, and have responsibility for implementation in their respective areas.

While this project is focused on the needs of American libraries, Canadian observers may well be invited to participate. Insofar as possible, the system should be developed so that it can take its place among other national authority systems as efforts to link bibliographic activities world-wide move forward.

Implementation Guidelines

As part of its Bibliographic Service Development Program, CLR will appoint a task force to assist in the continuing planning and review required to establish the authority file service. This task force, which is distinct from the advisory group mentioned above, will cease to exist once the system becomes operational and the Advisory Committee begins to function.

The task force will be charged with several tasks:

(1) Review this concept paper with special attention to the general requirements;

(2) Develop necessary specific requirements for an integrated, consistent name authority file service expanding particularly upon general requirements 1-4 above; consultants may be employed to assist the task force and CLR staff;

(3) Define the specific tasks required to implement the project.

While these tasks will lead to the establishment of the file, there are other issues that need attention. The task force will address, with LC and the file manager, such factors as selection of contributing institutions, training, forms of access, frequency of updates, screen displays, and products. How will the file be distributed? Will there be charges for access? How will the file manager support operating costs? How will institutions not associated with a shared cataloging activity gain access to the file? How will other libraries contributed to the authority file?

Finally, the task force will have to focus on the issue of administration/governance. Since this is only one element in a much larger milieu, how will this issue be resolved for the authority file service?

Completion of this agenda should result in the desired product—an operating, growing, integrated, consistent name authority file service for U.S. libraries and those who may join them.

Appendix

Definitions

For purposes of clarity it will be useful to define a number of terms as they will be used in this project. The terms are arranged in a logical rather than alphabetical sequence.

Catalog: A set of bibliographic records under control of authority files which describe a set of resources contained in collections, libraries, networks, and so forth. It is the instrument by which bibliographic control is maintained and by which the relationship between individual bibliographic records can be indicated, for example, the works of a single author or works on a particular subject. The catalog may include other types of records as well, such as cross-references and on-order information.

Bibliographic Control: The functions necessary to generate and organize cataloging records of library materials for effective retrieval by name, subject, and so on. Access points such as names and subjects must be consistent within a data base. Authority control is the particular function that provides that consistency.

Authority Control: Establishment of logical links between the authority and bibliographic files, that is, between individual authority records and all bibliographic records in which the authority (heading or access point) is used.

Authority File: A set of records that identify the established forms for headings (names, subjects, and so on) or access points. An authority file includes established forms of headings used in individual institutions, groups of related institutions, or networks of related and/or unrelated institutions. Authority files include cross-references from variants to the established forms for headings and links from earlier to later forms; they may link broader and narrower terms and related forms.

Authority Work: The functions necessary to establish, maintain, and use authority files.

Consistency (Authority File Context): Each heading (entry) in the authority file is created and carried as a unique element of the authority file and is therefore consistent (not in conflict) with other records in the authority.

System: An assembly of components united by some form of regulated interaction to form an organized whole. A system can be designed to perform any function, for example, to build an authority file.

File: A collection of related records treated as a unit.

Physical File: A collection of related records resident in a common physical environment. All of the file resides in one location.

Logical File: A collection of related records independent of their physical environment. Portions of the same logical file may be located in different physical locations.

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APPENDIX B

REQUIREMENTS STATEMENT FOR THE NAME AUTHORITY COOPERATIVE

This document was first issued in 1981 with the title: Requirements Statement for the Name Authority File Service. This is a revised edition.

CONTENTS

		Page
1	Overview and Purpose	35
2	Functions	36
	2.1 Add Authority Record	36
	2.2 Change Authority Record	37
	2.3 Delete Authority Record	38
	2.4 Edit Authority Data	38
	2.5 Query Authority Data	39
3	Administration and Maintenance	42
4	User Oriented System Outputs	43
	4.1 Displays	43
	4.2 Printed Products	44
	4.3 Computer-Output-Microform (COM) Products	44
	4.4 Machine-Readable Products	44
5	User Oriented System Inputs	45
	5.1 Displays	45
	5.2 Workforms	45
	5.3 Other	45
6	Initial Creation (Loading) of Data	46
7	Interfaces with Other Systems	47
8	System Design Constraints	48
	8.1 Performance Objectives for Functions	48
	8.2 Data Currency Requirements	48
	8.3 Data Security Requirements	48
	8.4 System Backup	49
	8.5 System Software and Hardware	49
	8.6 Training	49
	8.7 System Growth Requirements	50

Section 1. OVERVIEW AND PURPOSE

The Name Authority Cooperative (NACO) is a program for the cooperative building of a name authority file in machine-readable form. Libraries may contribute records to the NACO master file at LC through a variety of channels -- mail, terminal-to-computer, and computer-to-computer. At the present time, mail and terminal-to-computer contribution will use the record creation and quality control edit facilities of LC either indirectly (mail) or directly. With appropriate access to the master file or a copy of it, computer-to-computer contribution allows record creation to take place on other computer facilities with the complete record transmitted to the NACO master file system for quality control edit and addition to the file. The purpose of this document is to specify the requirements to be met by systems supporting contribution to the NACO file.

The purposes of the Name Authority Cooperative are:

- o to collect and maintain authority data for names, titles, and series
- o to record and maintain the relationships between and among headings for names, titles, and series; these relationships will include relationships (a) between and among established headings, and (b) between variant heading and established form(s)
- o to ensure integrity of heading forms
- o to provide query access to authority data

In addition, the Name Authority Cooperative must incorporate data definitions identical to or compatible with those specified in Authorities: A MARC Format[1] and its addenda, and must accept data in and produce data for distribution in this format.

The Name Authority File Cooperative must be usable by a large number of institutions, although some functions (e.g., ADD AUTHORITY RECORD) will be restricted to a limited number of institutions designated as contributing sources. Contributing sources will be responsible for the creation and maintenance of data in the file.

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[1]Library of Congress. Processing Services. Authorities: A MARC Format. First ed. Washington: Library of Congress, 1981. 116 p. ISBN 0-8444-0391-1.

Section 2. FUNCTIONS

The purpose of this section is to outline the functions defined for the NACO System and to provide a brief description of each.

The setting in which these functions will generally be performed is technical processing, specifically cataloging or catalog maintenance, although some functions will also be available to non-technical processing personnel. The functions described here will:

- o permit addition of an authority record
- o permit changing an existing authority record
- o permit deletion of an existing authority record (LC only)
- o ensure integrity of heading forms and other authority data
- o enable access to authority data
- o facilitate maintenance activities on authority data

2.1 ADD AUTHORITY RECORD

The function Add Authority Record must:

- o accept input of authority records from more than one contributing source
- o accept only authority records in agreed upon formats equivalent to or compatible with content and content designation specified in Authorities: A MARC Format and its Addenda[1]
- o accommodate authority records using characters defined to the ALA character set
- o record and maintain the data in an authority record so that, to the extent required, the data supplied by different contributing sources may be identified
- o accept input of authority records subject to system security requirements

Operators at terminals will add authority records through online, interactive use of their record input systems. If the operator is not on the NACO master file system, the operator's system must accommodate computer-to-computer transmission of authority records to the NACO master file.

2.2 CHANGE AUTHORITY RECORD

The function Change Authority Record must:

- o accept change of authority records from more than one contributing source
- o accept only changes to authority records in agreed upon formats equivalent to or compatible with content designation specified in Authorities: A MARC Format and its Addenda
- o accommodate changes to authority records using characters defined in the ALA character set
- o record and maintain the changed data in an authority record so that, to the extent required, the data changed by different contributing sources may be identified
- o accept change of an authority record subject to system security requirements and the conditions specified below

Operators at terminals will change authority records through online, interactive use of their record input systems. If the operator is not on the NACO master file system, the operator's system must accommodate computer-to-computer transmission of changed authority records to the NACO master file.

Conditions for Changing an Authority Record

A. Adding New Information to an Existing Authority Record

An existing authority record may be changed by the addition of new information under conditions that would include:

1. See from references (USMARC Authorities tag, 4nn) may be added by any contributing source at any time, provided that the addition does not conflict with data already in the file.
2. See also from references (5nn) may be added by any contributing source at any time, provided that the addition does not conflict with data already in the file.
3. Any other data may be added by any contributing source at any time.

B. Changing Information In or Deleting Information From an Authority Record

An existing authority record may be changed by the changing of or deletion of existing information under conditions that would include:

1. Headings and source citations may be changed only after the proposed change has been reviewed by LC.

2. All other data may be changed provided that the change does not conflict with data already on the file.

3. No local data may be changed, except by the inputting library.

Such changes or deletions must be consistent with policies agreed to by contributing sources. Data should be deleted with caution.

2.3 DELETE AUTHORITY RECORD

The function Delete Authority Record must accept deletion of an authority record subject to system security requirements and the conditions specified below. Authority records may be deleted only by approved staff at LC. Contributors may recommend deletion of an authority record to LC.

2.4 EDIT AUTHORITY DATA

The function Edit Authority Data provides machine editing and quality control of data received by the system through the functions: 2.1 Add Authority Record, and 2.2 Change Authority Record.

The NACO master file system should provide quality control through system software. Guidelines for machine editing and quality control of data in the NACO File appear in Appendix C -- Proposals for Quality Control for the Name Authority Cooperative.

System-supported editing and quality control will be provided online for online interactive use of both of the above functions. It may, however, be appropriate or necessary to perform some system-supported editing or quality control through scheduled batch processing.

Machine editing and quality control of authority data will result in error conditions when:

- o duplicate normalized established headings are submitted for addition to the file (not yet implemented at LC)
- o headings are changed in or deleted from one record but not related records (not yet implemented at LC)
- o records are deleted from the file without making necessary changes or deletions to related records (not yet implemented at LC)

2.5 QUERY AUTHORITY DATA

The function Query Authority Data must support query capabilities for headings in authority data and for other, non-heading authority data. Query capabilities for these two general types of authority data are discussed below at: A. Query of Heading Data, and B. Query of Other, Non-Heading Authority Data.

The function Query Authority Data must support Boolean operations (AND, OR, NOT) in search statements and in search criteria in these statements.

Operators at terminals will perform the function Query Authority Data through online, interactive use of their search system.

Some mechanisms for scheduled, batch searching will be provided to process standing search requests and/or search requests entered by operators at terminals saved for scheduled batch processing.

A. Query of Heading Data

The following types of search criteria are desirable for query of heading data:

1. Query using right truncated value of a heading as criteria (not yet implemented at LC)

2. Query using word(s) from a heading as criteria

   a. query using any word or words from a heading as criteria

   b. query using any right truncated word or words from a heading as criteria (not yet implemented at LC)

   c. query using a combination of word(s) and right truncated word(s) from a heading as criteria (not yet implemented at LC)

In addition, the query capabilities for heading data should provide the following types of access (listed in priority order) to authority data by the ability to search for:

1. Any Heading in the NACO File

2. Headings by Type

   a. Personal Names (USMARC Authorities tag, 100, 400, 500)
   b. Corporate Names (110, 410, 510)
   c. Conference Names (111, 411, 511)
   d. Uniform Titles (130, 430, 530)

e. Geographic Names (151, 451, 551)
f. Topical Subjects (550)

3. Title Information

a. Uniform Titles (130, 430, 530)
b. Titles in name/title headings (subfields "t," "n" and "p" in any heading)
c. Any title (combination of 3.a and 3.b, above)

4. Headings by Role in Authority Data

a. Any Established Heading (1nn)
b. Any See From Reference (4nn)
c. Any See Also From Reference (5nn)

5. Headings by Role in Authority Data and by Type

a. Established Headings

- Personal Names (100)
- Corporate Names (110)
- Conference Names (111)
- Uniform Titles (130)
- Geographic Names (151)

b. See From References

- Personal Names (400)
- Corporate Names (410)
- Conference Names (411)
- Uniform Titles (430)
- Geographic Names (451)

c. See Also From References

- Personal Names (500)
- Corporate Names (510)
- Conference Names (511)
- Uniform Titles (530)
- Geographic Names (551)
- Topical Subjects (550)

6. Headings by Other Characteristics

a. Personal Name Surname and Forename(s) Initial(s) (not yet implemented at LC)

b. Names by Form of Name Indicator values, e.g., capability to specify a search for personal names that are forenames, that

are single surnames, that are multiple surnames, or that are family names (not yet implemented at LC)

B. Query of Other, Non-Heading Authority Data

The following types of search criteria should be supported for query of other, non-heading authority data in offline mode.

1. Query using right truncated value as criteria

2. Query using word(s) as criteria

   a. Query using any word or words as criteria

   b. Query using any right truncated word or words as criteria

   c. Query using a combination of word(s) and right truncated word(s) as criteria

3. Query using complete value as criteria

The types of search criteria supported for query of other, non-heading data will be those appropriate to the specific type of data.

Section 3. ADMINISTRATION AND MAINTENANCE

The purpose of this chapter is to describe the procedures, methods, and responsibilities of the NACO master file system.

The NACO host computer system at the Library of Congress will be responsible for physical maintenance of the data, the associated applications and system software, and the system hardware. For additional discussion of host system responsibilities, see sections 2 (Functions) and 8 (System Design Constraints) of this appendix.

The participants will be responsible for maintaining data content of records. The procedures and methods used for this maintenance will reflect and encourage a sense of shared responsibility by all participants for the content and quality of the data. Conflicts about the content or quality of the data will be resolved on a timely basis.

To assist contributing sources in resolving conflicts, the Library of Congress will be designated as the conflict resolution agency.

To assist all contributing sources in data maintenance and in conflict resolution, mail, telephone, or electronic mail may be used.

Section 4. USER ORIENTED SYSTEM OUTPUTS

The purpose of this section is to describe the user oriented system outputs. Some are required for the master file system; others for systems having copies.

The following user oriented system outputs have been identified and are described in the subsections that follow: 4.1 Displays; 4.2 Printed Products; 4.3 Computer-Output-Microform Products; and 4.4 Machine-Readable Products.

4.1 DISPLAYS

Displays will be supplied by any system that supports NACO record creation in response to these functions: 2.1 Add Authority Record; 2.2 Change Authority Record; 2.3 Delete Authority Record (LC only); and 2.4 Query Authority Data.

In response to these functions, at least two general types of displays must be provided:

1. List of headings, records, etc., satisfying the request (search) criteria

2. Full record display, either (a) with content designation, or (b) without content designation

Any display should include information sufficient for the user to be aware of work progress -- for example, a display following a query should convey to the user what information was input as the request (e.g., search criteria, display specifications).

Any display provided in response to a given function should be appropriate to that function -- for example, a request to Change Authority Data should return a full record display of authority data with content designation.

List displays should arrange information in a meaningful and logical order. Content designated displays should arrange data in agreed upon order by tag. Displays not using content designation may incorporate the use of labels (e.g., see from references in authority data may be identified by labels such as VARIANT NAME).

Displays will be returned to operators at terminals; these terminals may be cathode ray tube (CRT) terminals or hard copy terminals. Displays must incorporate use of the ALA character set.

4.2 PRINTED PRODUCTS

Printed products may be supplied by the system through printers attached to cathode ray tube (CRT) terminals or printing (hard copy) terminals, and at remote printers as part of scheduled batch processing.

Printed products produced at terminals will typically be limited to printing of displays.

Printed products produced through scheduled batch processing would include reports resulting from the performance of scheduled batch processing activities (e.g., performing query through scheduled batch processing) and management reports, system performance statistics, etc.

4.3 COMPUTER-OUTPUT-MICROFORM (COM) PRODUCTS

The NACO master file system will support the production of computer-output-microform (COM) products of authority data. Such products should conform to existing national and international standards with respect to header information, reduction ratios, etc.

The principal COM product (probably to be issued as microfiche) is viewed as an expansion of the current Library of Congress product, Name Authorities. This Library of Congress COM fiche product contains Library of Congress authority data and data contributed by the NACO participants; the COM fiche product from the NACO File would include authority data supplied by all contributing sources.

Other COM products may also be produced periodically by the system. COM products may also be created upon request.

4.4 MACHINE-READABLE PRODUCTS

Machine-readable records in USMARC Authorities communication format will be produced in the required medium -- tape, disk, etc. -- or for direct computer-to-computer communication and will be supplied by the system.

Machine-readable products will be supplied periodically by the master file system. Machine-readable products may also be created on request, subject to economic and operational limitations of the systems.

Section 5. USER ORIENTED SYSTEM INPUTS

The purpose of this section is to describe user oriented system inputs.

The following user oriented system inputs have been identified and are described in the subsections that follow: 5.1 Displays; 5.2 Workforms; and 5.3 Other.

5.1 DISPLAYS

Formatted displays for cathode ray tube (CRT) terminals will be required for functions that the operator may use to add, change, or delete data, or to add or delete records.

Such displays should incorporate, whenever possible, prompts and tabbing to assist the operator in data addition, change, or deletion.

The systems that support NACO record creation will provide displays sufficient to meet the NACO functional requirements.

5.2 WORKFORMS

Formatted paper worksheets may be required for functions such as coding or other work away from terminal.

5.3 OTHER

Under certain circumstances, systems will need to provide other types of user oriented system inputs in addition to displays and workforms. These other, user oriented system inputs will typically be produced as reports as part of system-supplied quality control (for example, if some machine editing is performed as scheduled batch processing, reports produced that identify errors, problems, etc., would be used by operators to identify records and data requiring attention).

Section 6. INITIAL CREATION (LOADING) OF DATA

The Base File for NACO/LSP will be the Library of Congress name, title, and series authority records that are available in machine-readable form when the Linked Systems Project is implemented.

Section 7. INTERFACES WITH OTHER SYSTEMS

NACO/LSP will be designed so that it may utilize data from other systems through computer-to-computer interconnection, following national and international standards for communications protocols and for data content and content designation (e.g., USMARC communications formats).

Section 8. SYSTEM DESIGN CONSTRAINTS

The purpose of this section is to identify and describe briefly performance objectives and operating requirements.

The following topics are discussed in sections below: 8.1 Performance Objectives for Functions; 8.2 Data Currency Requirements; 8.3 Data Security Requirements; 8.4 Systems Backup; 8.5 System Software and Hardware; 8.6 Training; and 8.7 System Growth Requirements.

8.1 PERFORMANCE OBJECTIVES FOR FUNCTIONS

All functions -- online, interactive, or scheduled batch -- should be provided in a timely fashion.

The user system should provide rapid response time for online, interactive functions. Initial system response to complex searches, such as some word searches, may be data satisfying the search criteria or an indication that such response will be delayed.

System response to a request for scheduled batch processing should occur within 24 hours, unless the requestor indicates that a longer time before response is acceptable.

8.2 DATA CURRENCY REQUIREMENTS

The NACO File should be available through the NACO master file system for online, interactive use for the maximum available time, five days a week, except for scheduled and necessary system maintenance.

A copy of the NACO File that is not more than 24 hours out of date from the NACO master file must be available to all contributors that create records on systems other than the NACO master file system (or the contributors must search the NACO master file prior to input). Thus contribution systems must obtain, integrate, and index all records distributed from the NACO master file system within 24 hours of receipt.

8.3 DATA SECURITY REQUIREMENTS

Data security for all files and data will be provided such that only authorized personnel from authorized institutions using authorized commands (language) may activate system functions. The system will also ensure that restrictions on the provision of functions are observed.

At least the following data and file security measures must be provided:

1. Proper operation and backup, including restart/recovery, for the online system.

2. The addition of new records, and the change of existing records should be restricted to institutions designated as contributing sources; certain functions will be restricted using appropriate file security techniques. Other institutions may have access only to read the files. Deletion of records will be limited to LC.

3. A NACO master file record will be marked when the intellectual work for an update begins, and effectively "locked" to change records coming from outside the master file system when the actual update process is taking place within the master file system.

4. Changes to existing records should be monitored if not restricted:

   a. Certain fields or elements within fields should not be altered. For example, information may be added to a field but not deleted -- the USMARC tag 040 -- Cataloging Source is, for example, such a field. (not yet implemented at LC)

   b. Certain fields should not be deleted -- the USMARC tag 008 is, for example, such a field. (not yet implemented at LC)

8.4 SYSTEM BACK UP

The NACO master file system must provide proper operation and back up, including restart/recovery procedures.

8.5 SYSTEM SOFTWARE AND HARDWARE

Communications software: The NACO master file system should support query access through telephone dialup, one or more of the value-added communication networks, and leased communication lines.

Communications hardware: The NACO master file system may require users of the system to obtain specific hardware and lease communication lines for communication with the system in full-face block transmission mode.

Query only access should be supported from any ASCII computer terminal in line-by-line transmission mode (CRT or hard copy). The whole system may limit full-face block mode to a designated terminal or terminals.

8.6 TRAINING

The Library of Congress will be responsible for providing a training program for contributing sources.

As part of the training program, contributing sources will receive documentation describing applications available, methods of system use, and conventions to be followed by contributing sources. The same information will be provided to cooperating systems.

8.7 SYSTEM GROWTH REQUIREMENTS

The Name Authority Cooperative must be designed to fulfill the purposes stated in this document and to perform the functions outlined herein. Use of all functions is expected to increase over time; the system must be designed to accommodate future expansion.

APPENDIX C

PROPOSALS FOR QUALITY CONTROL FOR THE NAME AUTHORITY COOPERATIVE

This document was first issued in 1981 as Part II of Requirements Statement for the Name Authority File Service. This is a revised edition of that part.

CONTENTS

		Page
Introduction		53
System Supplied Editing and Quality Control (Interactive, Online)		54
1	New Data	54
1.1	General Checking	54
1.1.1	For any field	54
1.1.2	In addition, for fields containing headings or references	54
1.2	Editing Specific to Addition of Data to File	55
1.2.1	For any field	55
1.2.2	In addition, for fields containing headings or references	55
	A. Established heading field (1nn)	55
	B. See from (x) references (4nn)	55
	C. See also from (xx) references (5nn)	55
	D. Other fields, not headings or references	56
1.2.3	Other	57
2	Updates that Change Existing Fields	57
2.1	Deletions Only	57
2.1.1	General Checking	57
2.1.2	Editing Specific to Deletion of Data From File	57
2.2	Replacements	57
2.2.1	General Checking	57
2.2.2	Editing Specific to Replacement of Data on File	57
3	Deletion of Records	58
4	System Characteristics	58
System Supplied Editing and Quality Control (Scheduled Reports)		59
System Assisted Quality Review		62

INTRODUCTION

These proposals for quality control in the NACO File are based upon the following premises:

- o authority data will be subject to as much quality control as is possible
- o insofar as possible, quality control will be supported by the NACO master file system (there will, however, be some procedural quality control as well)
- o any data used for key (access) will be edited comprehensively by the NACO master file system

In casting these recommendations, it was also assumed that authority data will be input to the NACO File as logical records containing:

- o established form (USMARC Authorities tag 1nn)
- o see from (x) references (4nn)
- o see also from (xx) references (5nn)
- o associated notes, etc.

That is, authority data will be input in the context of all logical information about an established heading; it will not be input such that a See To Reference (A see B) or a See Also To Reference (B see also F) is input without reference to or display of the complete authority information for the established heading(s) involved.

SYSTEM SUPPLIED EDITING AND QUALITY CONTROL (INTERACTIVE, ONLINE)

1 New Data (i.e., any new record or field)

1.1 General Checking

1.1.1 For any field, check to determine:

a. that the tag used for the field is defined to the system

b. when indicators are defined for the field, the correct number of indicator positions is present

c. when the field is subfielded,

- o that only subfield codes defined for use in that field are used
- o that each subfield contains data (i.e., each subfield code is followed by one character that is not blank, a delimiter for the next subfield, or end of field)
- o that each subfield neither ends nor begins with an invalid blank (not yet implemented at LC)

d. when the field is fixed length, that the length of the field is valid

If errors are found in the input stream for a record created on the NACO master file system, reject the verification transaction and write appropriate error messages. If record was created on another system, the record is rejected and a rejection response with appropriate error message is sent to the originating system. In this case, a copy of the record is not kept by the NACO master file system.

1.1.2 In addition, for fields containing headings or references, or that are used for access, check to determine:

a. when indicators are defined for the field, that indicator values are valid

b. when the field is fixed length, that the code values used for defined character positions are valid; when possible, crosscheck between and among character positions

If errors are found in the input stream for a record created on the NACO master file system, reject the verification transaction and write appropriate error messages. If record was created on another system, the record is rejected and a rejection response with appropriate error message is sent to the originating system. In this case, a copy of the record is not kept by the NACO master file system.

1.2 Editing Specific to the Addition of Data to the File

Having passed the checks listed in 1.1, the field is a candidate for addition to the file.

1.2.1 For any field, perform whatever additional checks the system may require or that are desired.

1.2.2 In addition, for fields containing headings or references, or that are used for access, perform the additional checks specified below. (not yet implemented at LC)

A. Established heading field (1nn)

1. Check to see if the heading is already on the file.

a. If not on the file, mark that data may be added

b. If already on the file, reject the entire input transaction and write appropriate error message(s)

The check to see if the heading is already on the file will be accomplished by an access string match of the "normalized" version of heading.

B. See from (x) references (4nn)

1. Check to see if the heading is already on the file.

a. If not on the file, mark that data may be added

b. If already on the file, check the use of the heading on the file:

- o if 1nn, reject the entire input transaction and write the appropriate error message(s); this is the case where the "see reference" proposed is already on the file as an established heading
- o if 4nn, mark that data may be added

C. See also from (xx) references (5nn)

1. Check to see if the heading is already on the file.

a. If not on the file, write the appropriate error message(s); this is a case where a "see also from" is proposed for a heading form not on the file.

b. If already on the file, check the use of the heading on file:

- o if 1nn, mark that data may be added
- o if 4nn, reject the entire input transaction and write the appropriate error message(s); this is a case where a "see also from" is proposed for a heading form already on the file as a "see from"

D. Other fields, not headings or references

Perform appropriate tests, depending on the fields or character positions that are used for access.

1.2.3 Other

A. Required input content

If the data added are a new record, check to ensure that the fields required in each record are present -- e.g., 1nn, 008, control number, etc. -- and check to ensure that mandatory field content is present.

B. Internal consistency of input content (not yet available at LC)

If the data added are a new record, check that the data are internally consistent -- e.g., 1nn and 4nn content are not the same, 1nn and 5nn content are not the same, 4nn and 5nn content are not the same, etc.

If the data added are a new field to an existing record, check to see that the addition of these data to the existing record is internally consistent -- e.g., if data added are 4nn, check to see that it is not the same as 5nn in the record.

Depending upon the structure of the file and the input requirements, the following may also be required/desirable:

C. Warning or error message(s) if duplicate search/sort keys are place on the file (not yet implemented at LC)

D. Checks, etc., to ensure that if the corporate subdivision is placed on the file that the main body is already established, e.g., an entry for

110 ≠aMaryland. ≠bDept. of Mines, Geology and Water Resources.

will generate an error message unless

151 ≠aMaryland

is present in the file. (not yet implemented at LC)

2 Updates that Change Existing Fields

Input that updates a record by adding a new field (i.e., a field previously not in the record) is treated under Section 1 (New Data), above.

Input that updates an existing field is treated in this section (Section 2). An update to an existing field may be viewed as being:

a. Deletion only

The sole action is to remove the field (i.e., nothing is put in its place).

b. Replacement

The action is to replace existing data with something else:

2.1 Deletions Only

2.1.1 Editing Specific to Deletion of Data From File

A. Is the field defined to the system as deletable?

Some fields will be required in a record, and may not be deleted (e.g., 1nn, control number, etc.). If the field is not deletable, reject the entire update transaction and write the appropriate error message(s).

2.2 Replacements

2.2.1 General Checking

A. Check to see that the tag used to request replacement is defined to the system. If not defined, reject the entire update transaction and write the appropriate error message(s).

2.2.2 Editing Specific to Replacement of Data on File

A. Is the field defined to the system as replaceable?

Some considerations: Some fields will not be replaceable (e.g., 005). (not implemented in LC)

1. If the field is not replaceable, reject the entire update transaction and write the appropriate error message(s).

2. If the field is replaceable, perform the checks listed in section 1 upon the proposed replacement data.

   a. If all tests are passed, mark the field for replacement.

   b. If any test fails, reject the entire update transaction and write the appropriate error message(s).

3 Deletion of Records

Only the Library of Congress will be allowed to delete records from the file.

4 System Characteristics

The quality control features supported online for the NACO File by the systems supporting record creation will include conversational subsystems for addition, change, and deletion of authority records and data in those records.

For example, when a contributing source wants to change an existing record, the following steps seem appropriate:

- The operator searches and identifies the record to be changed.
- The system displays data in the appropriate update format.
- The operator enters the proposed changes.
- The system responds to the proposed changes (i.e., the system performs the tests outlined above and responds).
- If the system responds that the data pass all tests, the operator will specify that the data be added to the NACO File.

This will permit the contributing source to review changes before adding them to the NACO File.

SYSTEM SUPPLIED EDITING AND QUALITY CONTROL (SCHEDULED REPORTS)

Even though it is assumed that all input and update to the NACO will be accomplished through interactive, online use of the system, there will be definite advantages to producing batch reports on system activity, system use, etc. These reports may be used to monitor information added to the NACO File, to identify the nature of problems that users are having, and probably to isolate areas where conflict resolution may be required.

Some reports should be supplied on a regular and timely basis (perhaps daily). Other reports shown below may be useful only under certain circumstances (e.g., by new contributing sources, by the Library of Congress on a "spot check" basis) or under certain operating conditions of the host computer system (e.g., diagnostics from scheduled, batch editing would be used regularly only if all editing was not provided during online, interactive system use).

1. List of records deleted (LC will not generate initially)

2. Weekly statistical reports of LSP activity

   I. For each non-LC participating library:

      A. New records added (total)

         Name authority

         Series authority

      B. Records changed (total)

         Name authority

         Series authority

      C. Records rejected (total)

         Reason A

         Reason B

         Etc.

      D. List of record control numbers of records added

      E. List of record control numbers of records changed

II. For the system as a whole, a summary report combining all participating libraries' statistics, using the formats of items A, B, and C above.

For each utility participating in LSP, a summary report combining its members' statistics, using the formats of items A, B, and C above.

3. Monthly report of NACO Database composition

A monthly report, based on four- or five-week periods, listing the number of name authority records and the number of series authority records on the NACO database, with each total subdivided to show the number of records contributed by each participating library.

4. List of headings added (LC will not generate initially)

Experience with online, interactive input/update editing of data shows that even the most well-considered series of tests will have some loopholes, or it will be decided not to install some types of tests online until a sense of the magnitude of the problems encountered is identified. There are some types of errors that it is probably senseless to search for through online, interactive editing, and these errors should be searched for in scheduled batch processing (daily, weekly, etc.). (cf. report 5, below)

A method of quality control that seems potentially quite useful is the listing of headings added during a day, week, etc. Such listings could be used to monitor headings added to the file. (A knowledgeable cataloger reviewing such a list can often identify problems early; the earlier problems are corrected, the better. Some problems will be coding problems.)

Lists broken out by heading type (100, 110, 111, 130, etc.), and within that by form of name indicator, would be useful non-system quality control for human review. (Initially, such lists might be produced daily, then on some sample basis; it may be desirable to list all headings added by new contributing sources until it is clear that the contributing source is using the system properly.)

5. Diagnostics on scheduled batch processing

Certain types of editing may be appropriate for scheduled batch processing. Reports of results of such processing must be prepared. (Such reports would be especially important if not all additions to the NACO File are accomplished through online, interactive use of the system.)

For example, batch editing might identify headings that incorporate subfield patterns rarely used (or that seem peculiar; e.g., a corporate name with 3 or more subfield "b" in data).

6. Other reports such as lists of error messages received could be generated.

   Lists of error messages received could be generated. Such lists would indicate the understanding of the system and its use; this information could be used as a basis for retraining or, if applicable, removal from system use.

SYSTEM ASSISTED QUALITY REVIEW

In order to review and monitor system use and NACO File growth, it seems desirable to have the NACO master computer system support mechanisms for deriving samples of data in the NACO File and making such samples available for analysis (either by the system or by personnel responsible for conflict resolution and/or quality control).

As a means of system-supported quality control it would be desirable for the master file system to enable LC, on a predetermined schedule (weekly, monthly, quarterly, etc.), to examine a sample of NACO File data. Such data would include (a) records created by contributing sources during the specified report period, and (b) records changed by contributing sources during the specified report period.

APPENDIX D

RESULTS OF THE NAFS SURVEY

As part of the planning process for the Name Authority File Service, the Task Force on a Name Authority File Service conducted a survey in January-February of 1982. The purpose of the survey was to gather information from staff in various types of libraries about their expectations of, and potential use for, such a service. The task force sought information about how the availability of the file might affect both public and technical service operations, and the library's future in general, and also how plans for the library's future (e.g., installation of an online catalog) might affect future use of the Name Authority File Service. Questions were also asked about current use of, and experience with, the LC Name Authority File.

A total of 263 questionnaires were distributed to libraries (as shown on the following page), and 182 (69.2%) were completed and returned.

This appendix contains the results of that survey in tabular form. The questionnaire used to collect these data is reprinted following the tables.

(Editor's note: The reader is reminded that the data in these tables are more than two years old, and a similar survey today might uncover quite different data (e.g., on topics related to online catalogs). The Library and Information Technology Association's Discussion Group on Authority Control in the Online Environment has just completed (spring of 1984) an opinion poll that addressed many of the same issues as this 1982 NAFS survey.)

NAME AUTHORITY FILE SERVICE SURVEY

RESULTS

THIS PRINTOUT TABULATES RESULTS OF THE NAME AUTHORITY FILE SERVICE (NAFS) SURVEY THAT WAS CONDUCTED DURING JANUARY-FEBRUARY 1982. THE PURPOSE OF THE SURVEY WAS TO GATHER DATA AND IDEAS USEFUL TO THE NAFS TASK FORCE AS IT PLANS THE SERVICE.

A TOTAL OF 263 QUESTIONNAIRES WERE DISTRIBUTED; 182 COMPLETED QUESTIONNAIRES WERE RETURNED, AS FOLLOWS:

TYPE OF LIBRARY	NUMBER SENT	NUMBER RETURNED	PERCENTAGE RETURNED
RESEARCH LIBRARIES: ALL MEMBER LIBRARIES OF THE ASSOCIATION OF RESEARCH LIBRARIES (ARL)	113	97	85.8%
ACADEMIC LIBRARIES (U.S.) WITH BOOK BUDGETS OVER $50,000 (CHOSEN AT RANDOM FROM A MAILING LIST OF 646 SUCH LIBRARIES; NO DUPLICATES WITH ARL LIST)	50	32	64.0%
PUBLIC LIBRARIES (U.S.) WITH BOOK BUDGETS OVER $50,000 (CHOSEN AT RANDOM FROM A MAILING LIST OF 759 SUCH LIBRARIES; NO DUPLICATES WITH ARL LIST)	50	25	50.0%
LAW LIBRARIES SERVING U.S. LAW SCHOOLS (CHOSEN AT RANDOM FROM 166 LAW SCHOOLS APPROVED BY THE AMERICAN BAR ASSOCIATION)	25	14	56.0%
MEDICAL LIBRARIES SERVING U.S. MEDICAL SCHOOLS (CHOSEN AT RANDOM FROM 124 MEDICAL SCHOOLS APPROVED BY THE ASSOCIATION OF AMERICAN MEDICAL COLLEGES)	25	14	56.0%
TOTAL	263	182	69.2%

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NOTES

1. NUMBERS IN ( ) IN THE TABLES ARE PERCENTAGES -- PERCENTAGES OF RESPONSES AS YOU READ DOWN A COLUMN (I.E., TYPE OF LIBRARY). PERCENTAGES MAY NOT TOTAL 100% DUE TO ROUNDING.

2. SOME QUESTIONS ALLOWED MORE THAN ONE RESPONSE; CONSEQUENTLY, TOTAL RESPONSES TO THOSE QUESTIONS CAN BE GREATER THAN THE NUMBER OF RESPONDENTS.

3. QUESTIONS 1 - 5 ASKED THE NAME AND ADDRESS OF THE INSTITUTION, AND THE NAME, TITLE AND PHONE NUMBER OF THE PERSON COMPLETING THE QUESTIONNAIRE. THIS REPORT ON THE RESULTS BEGINS WITH QUESTION 6 AND ENDS WITH QUESTION 36.

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QUESTION 61 HOW MANY TITLES WERE CATALOGED AT YOUR LIBRARY DURING YOUR LAST FISCAL YEAR? ----------

	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
NUMBER RESPONDING	97	32	25	13	14	181
AVERAGE	34647	9236	7555	2230	2848	21624
MEDIAN	29795	7820	6063	2030	2741	15000
RANGE	1500 - 170384	1877 - 21000	450 - 33681	364 - 3854	419 - 5224	419 - 170384

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QUESTION 7: HOW MANY OF THOSE TITLES REQUIRED ORIGINAL CATALOGING? ----------

	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
NUMBER RESPONDING	95	31	19	12	12	169
AVERAGE	7046	467	567	306	176	4144
MEDIAN	3363	309	361	143	85	1276
RANGE	75 - 170384	25 - 1400	2 - 2400	6 - 1399	15 - 698	2 - 170384

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QUESTION 7A: WHAT PERCENTAGE OF TITLES CATALOGED REQUIRED ORIGINAL CATALOGING?
(THIS QUESTION WAS NOT ASKED ON THE QUESTIONNAIRE, BUT THE PERCENTAGE WAS CALCULATED FROM THE RESPONSES TO QUESTIONS 6 AND 7.)

	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
NUMBER RESPONDING	95	29	17	12	12	165
AVERAGE	16	6	9	11	4	12
MEDIAN	12	4	6	6	3	9
RANGE	1 - 100	1 - 27	1 - 40	1 - 38	1 - 15	1 - 100

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QUESTION 8: FOR HOW MANY TITLES WAS LC COPY FOUND? _____

	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
NUMBER RESPONDING	80	23	12	11	6	132
AVERAGE	20881	6902	4985	1446	2238	14533
MEDIAN	18916	6750	6023	1200	2727	11455
RANGE	30 - 70000	23 - 17010	25 - 9000	538 - 3718	7 - 3918	7 - 70000

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QUESTION 8A: FOR WHAT PERCENTAGE OF TITLES CATALOGED WAS LC COPY FOUND?
(THIS QUESTION WAS NOT ASKED ON THE QUESTIONNAIRE, BUT THE PERCENTAGE WAS CALCULATED FROM THE RESPONSES TO QUESTIONS 6 AND 8.)

	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
NUMBER RESPONDING	79	23	11	11	5	129
AVERAGE	63	66	72	65	64	64
MEDIAN	65	74	80	62	60	68
RANGE	1 - 90	1 - 99	18 - 94	40 - 96	55 - 75	1 - 99

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QUESTION 9: FOR HOW MANY TITLES WAS NON-LC COPY FOUND? ----------

	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
NUMBER RESPONDING	67	22	11	9	6	115
AVERAGE	7546	2485	1485	607	1366	5133
MEDIAN	5459	2343	1275	500	1181	3120
RANGE	225 - 32047	1 - 7506	2 - 3712	23 - 1500	605 - 2922	1 - 32047

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QUESTION 9A: FOR WHAT PERCENTAGE OF TITLES CATALOGED WAS NON-LC COPY FOUND?
(THIS QUESTION WAS NOT ASKED ON THE QUESTIONNAIRE, BUT THE PERCENTAGE WAS CALCULATED FROM THE RESPONSES TO QUESTIONS 6 AND 9.)

	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
NUMBER RESPONDING	67	19	9	9	6	110
AVERAGE	20	28	23	28	39	23
MEDIAN	19	22	20	30	30	20
RANGE	1 - 56	11 - 90	12 - 41	4 - 60	15 - 97	1 - 97

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QUESTION 10: DOES YOUR LIBRARY MAINTAIN ITS OWN NAME AUTHORITY FILE? YES_____ NO_____

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
YES	88 (90)	21 (65)	8 (32)	6 (42)	9 (64)	132 (72)
NO	8 (8)	11 (34)	16 (64)	8 (57)	5 (35)	48 (26)
NO RESPONSE	1 (1)	0 (0)	1 (4)	0 (0)	0 (0)	2 (1)
TOTAL	97	32	25	14	14	182

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QUESTION 11: HAS YOUR LIBRARY RECENTLY DONE A STUDY OF THE EXPENSE--EITHER IN DOLLARS OR IN PERSONNEL HOURS--OF MAINTAINING THE AUTHORITY FILE? YES_____ NO_____

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
YES	7 (7)	0 (0)	0 (0)	0 (0)	0 (0)	7 (3)
NO	83 (85)	21 (65)	11 (44)	6 (42)	9 (64)	130 (71)
NO RESPONSE	7 (7)	11 (34)	14 (56)	8 (57)	5 (35)	45 (24)
TOTAL	97	32	25	14	14	182

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QUESTION 12: DOES YOUR LIBRARY CURRENTLY HAVE AN ONLINE PUBLIC CATALOG, OR DOES IT EXPECT TO HAVE ONE IN THE NEXT THREE YEARS?
YES_____ NO_____

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
YES	53 (54)	5 (15)	5 (20)	2 (14)	5 (35)	70 (38)
NO	44 (45)	27 (84)	19 (76)	12 (85)	9 (64)	111 (60)
NO RESPONSE	0 (0)	0 (0)	1 (4)	0 (0)	0 (0)	1 (0)
TOTAL	97	32	25	14	14	182

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QUESTION 13: IF THE ANSWER TO QUESTION 12 IS YES, WHAT TYPE OF AUTHORITY CONTROL, IF ANY, DO (OR WILL) YOU HAVE FOR THAT ONLINE PUBLIC CATALOG?

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
LIBRARY IS DOING SOME THINKING ABOUT AUTHORITY CONTROL, BUT NO SPECIFIC PLANNING OR DEVELOPMENT YET**	25 (54)*	3 (100)	3 (100)	1 (50)	3 (100)	35 (61)
AUTHORITY CONTROL UNDER DEVELOPMENT, OR IN PLACE AND BEING IMPROVED	7 (15)	0 (0)	0 (0)	0 (0)	0 (0)	7 (12)
BASED ON UNIV OF CALIF SYSTEM	5 (11)	0 (0)	0 (0)	0 (0)	0 (0)	5 (9)
BASED ON WLN	3 (7)	0 (0)	0 (0)	1 (50)	0 (0)	4 (7)
BASED ON RLG/RLIN	3 (7)	0 (0)	0 (0)	0 (0)	0 (0)	3 (5)
BASED ON NETWORK (UNSPECIFIED)	3 (7)	0 (0)	0 (0)	0 (0)	0 (0)	3 (5)
TOTAL NUMBER OF PURPOSES GIVEN	46	3	3	2	3	57

NOTES:

(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION	46	3	3	2	3	57

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) ** BASED ON RESPONSES, THE IDEAL AUTHORITY CONTROL SYSTEM WOULD HAVE MANY OR ALL OF THE FOLLOWING FEATURES: ONLINE; INTEGRATED; AUTHORITY RECORDS LINKED TO BIBLIOGRAPHIC RECORDS; MANDATORY, AUTOMATIC VERIFICATION OF PERSONAL AND CORPORATE NAMES, SERIES, UNIFORM TITLES, AND SUBJECT HEADINGS AGAINST THE AUTHORITY FILE DURING RECORD CREATION AND MAINTENANCE, AND WOULD FLAG RECORDS THAT ARE NOT CONSISTENT WITH THE EXISTING AUTHORITY FILE, AND WOULD ALLOW FOR MACHINE CONVERSION OF THE PROBLEM ITEMS; BASED ON MARC AUTHORITY RECORDS; INTERACTIVE; TRANSPARENT TO THE USER; WOULD SUGGEST "SEE" AND "SEE ALSO" REFERENCES TO THE USER AT CERTAIN POINTS IN A SEARCH; AND WOULD HAVE GLOBAL CHANGE CAPABILITIES.

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IF YOUR LIBRARY CURRENTLY USES THE LC NAME AUTHORITY FILE, PLEASE INDICATE THE FORMAT(S) USED:

QUESTION 14:

_____LC MARC BIBLIOGRAPHIC FILE
_____NATIONAL UNION CATALOG (NUC)
_____LC NAME AUTHORITY FILE (ON A SYSTEM SUCH AS OCLC, WLN, ETC.)
_____LC NAME AUTHORITY FILE ON MICROFICHE
_____LC NAME AUTHORITY FILE ON TAPE
_____OTHER (PLEASE DESCRIBE)

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
MARC FILE	36 (13)	3 (4)	1 (3)	2 (8)	0 (0)	42 (10)
NUC	67 (24)	14 (20)	2 (6)	3 (12)	1 (5)	87 (20)
NAF ON A SYSTEM	80 (29)	28 (40)	15 (51)	12 (48)	12 (70)	147 (35)
NAF MICROFICHE	80 (29)	24 (34)	5 (17)	8 (32)	2 (11)	119 (28)
NAF TAPE	1 (0)	0 (0)	0 (0)	0 (0)	0 (0)	1 (0)
OTHER	9 (3)	0 (0)	0 (0)	0 (0)	0 (0)	9 (2)
NO RESPONSE	2 (0)	1 (1)	6 (20)	0 (0)	2 (11)	11 (2)
TOTAL	275	70	29	25	17	416

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QUESTION 15: DOES YOUR LIBRARY CURRENTLY USE THE LC NAME AUTHORITY FILE AS OFFERED ON ANY ONLINE SYSTEM?
YES_____ NO_____

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
YES	81 (83)	30 (93)	15 (60)	12 (85)	12 (85)	150 (82)
NO	14 (14)	2 (6)	9 (36)	1 (7)	1 (7)	27 (14)
NO RESPONSE	2 (2)	0 (0)	1 (4)	1 (7)	1 (7)	5 (2)
TOTAL	97	32	25	14	14	182

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QUESTION 15A: IF YOU ANSWERED YES (TO 15), PLEASE INDICATE WHICH SYSTEM: _____

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
[illegible]	2 (2)	0 (0)	0 (0)	0 (0)	0 (0)	2 (1)
OCLC	72 (74)	29 (90)	14 (56)	12 (85)	12 (85)	139 (76)
RLG	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
WLN	1 (1)	1 (3)	0 (0)	0 (0)	0 (0)	2 (1)
UTLAS	4 (4)	0 (0)	0 (0)	0 (0)	0 (0)	4 (2)
OTHER	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
MULTIPLE	2 (2)	0 (0)	0 (0)	0 (0)	0 (0)	2 (1)
NO RESPONSE	16 (16)	2 (6)	11 (44)	2 (14)	2 (14)	33 (18)
TOTAL	97	32	25	14	14	182

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QUESTION 16: PLEASE LIST BRIEFLY ALL THE PURPOSES FOR WHICH YOUR LIBRARY USES THE LC NAME AUTHORITY FILE ON A SYSTEM, INCLUDING USES BY PUBLIC SERVICE STAFF AND ANY UNIQUE USES YOU HAVE FOUND FOR THE FILE.

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
VERIFY HEADINGS FOR CATALOGING	68 (85)	17 (60)	10 (67)	11 (85)	6 (50)	112 (76)
ESTABLISH CROSS-REFERENCES__	46 (58)	14 (50)	3 (20)	3 (23)	1 (8)	67 (45)
ESTABLISH OR VERIFY AACR2 ACCESS POINTS	11 (14)	9 (32)	2 (13)	2 (15)	7 (6)	31 (21)
TO RESOLVE CONFLICTS IN HEADINGS	17 (21)	6 (21)	0 (0)	1 (8)	0 (0)	24 (16)
VERIFY ENTRY FOR PRE-ORDER SEARCHING	7 (9)	5 (18)	0 (0)	1 (8)	1 (8)	14 (9)
FOR REFERENCE WORK	9 (11)	2 (7)	0 (0)	1 (8)	1 (8)	13 (9)
FOR EXAMPLES TO HELP ESTABLISH SIMILAR AACR2 HEADINGS	8 (10)	1 (4)	1 (7)	0 (0)	0 (0)	10 (7)
FOR RETROSPECTIVE CONVERSION	5 (6)	1 (4)	1 (7)	0 (0)	2 (17)	9 (6)
SEARCH/VERIFY UNIFORM TITLE HEADINGS	5 (6)	3 (11)	0 (0)	0 (0)	0 (0)	8 (5)
TO CHECK NON-LC CATALOGING COPY	2 (3)	2 (7)	1 (7)	1 (8)	1 (8)	7 (5)
VERIFY HEADINGS FOR ILL	3 (4)	2 (7)	1 (7)	0 (0)	1 (8)	7 (5)
TO CHECK HISTORY OF CORPORATE BODIES	5 (6)	0 (0)	1 (7)	0 (0)	0 (0)	6 (4)
NACO PARTICIPATION	5 (6)	0 (0)	0 (0)	0 (0)	0 (0)	5 (3)

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QUESTION 16/PAGE2

VERIFY FORM OF NAME PRIOR TO SEARCHING DATABASE	1 (1)	2 (7)	2 (13)	0 (0)	0 (0)	5 (3)
TO FIND CALL NUMBER FOR LITERARY AUTHORS	5 (6)	0 (0)	0 (0)	0 (0)	0 (0)	5 (3)
VERIFY EARLIER/LATER NAMES	4 (5)	0 (0)	0 (0)	0 (0)	1 (8)	5 (3)
TO ESTABLISH PATTERNS OF SERIAL NAME HEADINGS	3 (4)	0 (0)	0 (0)	0 (0)	0 (0)	3 (2)
FOR NOTES, EXPLANATIONS, AND OTHER INFORMATION	2 (3)	1 (4)	0 (0)	0 (0)	0 (0)	3 (2)
FOR GEOGRAPHIC NAMES	1 (1)	2 (7)	0 (0)	0 (0)	0 (0)	3 (2)
OTHER RESPONSES LISTED BELOW	10 (13)	0 (0)	2 (13)	0 (0)	0 (0)	12 (8)
TOTAL NUMBER OF PURPOSES GIVEN	217	67	24	20	21	349

NOTES:

(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION	80	28	15	13	12	148

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) OTHER RESPONSES ARE SUMMARIZED BELOW.
(CODES FOLLOWING EACH RESPONSE INDICATE THE NUMBER AND TYPE(S) OF LIBRARIES MAKING THAT RESPONSE.)

OTHER RESPONSES: FOR BROWSING/SCANNING (2R); FOR COLLECTION DEVELOPMENT USE (2R); VERIFICATION OF RELATED BODIES (2R); IDENTIFICATION OF STATE AND FEDERAL AGENCIES (1P); SERIES AUTHORITY WORK INVOLVING CORPORATE BODIES (1R); FOR AUTHOR CUTTERS FOR LITERATURE AND MUSIC (IF AVAILABLE) (1P); TO ASSIGN SUBFIELD "W" FOR HEADINGS USED FOR THE OCLC ARCHIVAL TAPE (1R); AUTOMATIC UPDATING OF HEADINGS (1R); TO FIND OUT IF LC HAS RECEIVED A WORK (1R).

PLEASE CHECK THE APPROXIMATE NUMBER OF LC AUTHORITY RECORDS STAFF AT YOUR LIBRARY REFERRED TO ON A SYSTEM DURING THE PAST 30 DAYS:

QUESTION 17:

_____100 OR LESS
_____101 - 500
_____501 - 1,000
_____1,001 - 3,000
_____3,001 OR MORE

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
100 OR LESS	3 (3)	11 (34)	12 (48)	5 (35)	8 (57)	39 (21)
101 - 500	14 (14)	13 (40)	1 (4)	4 (28)	2 (14)	34 (18)
501 - 1,000	17 (17)	3 (9)	1 (4)	0 (0)	2 (14)	23 (12)
1,001 - 3,000	26 (26)	1 (3)	1 (4)	1 (7)	0 (0)	29 (15)
3,001 OR MORE	21 (21)	1 (3)	0 (0)	0 (0)	0 (0)	22 (12)
NO RESPONSE	16 (16)	3 (9)	10 (40)	4 (28)	2 (14)	35 (19)
TOTAL	97	32	25	14	14	182

COMPARED TO SIX MONTHS AGO, HAS THE USE OF THE LC NAME AUTHORITY FILE (ON A SYSTEM) BY STAFF AT YOUR LIBRARY INCREASED, DECREASED OR REMAINED THE SAME?

QUESTION 18:

_____INCREASED
_____DECREASED
_____REMAINED THE SAME

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
INCREASED	48 (49)	15 (46)	5 (20)	7 (50)	5 (35)	80 (43)
DECREASED	2 (2)	1 (3)	0 (0)	0 (0)	1 (7)	4 (2)
REMAINED THE SAME	31 (31)	14 (43)	10 (40)	3 (21)	6 (42)	64 (35)
NO RESPONSE	16 (16)	2 (6)	10 (40)	4 (28)	2 (14)	34 (18)
TOTAL	97	32	25	14	14	182

QUESTION 19A: IF THERE HAS BEEN AN INCREASE IN THE AMOUNT OF USE OF THE LC NAME AUTHORITY FILE ON A SYSTEM, DESCRIBE BRIEFLY THE CAUSE(S) OF THE INCREASE:

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
IMPLEMENTATION OF AACR2	30 (62)*	8 (67)	0 (0)	4 (57)	2 (40)	44 (57)
INCREASED CATALOGING ACTIVITY	13 (27)	2 (17)	3 (60)	4 (57)	1 (20)	23 (30)
POLICY/PROCEDURES CHANGES	11 (23)	4 (33)	1 (20	0 (0)	1 (20)	17 (22)
INCREASED SIZE OF THE FILE	11 (23)	0 (0)	0 (0)	1 (14)	0 (0)	12 (16)
MORE STAFF USING THE SYSTEM	7 (15)	0 (0)	0 (0)	0 (0)	2 (40)	9 (12)
STAFF MORE EXPERIENCED WITH THE SYSTEM	5 (10)	0 (0)	1 (20)	0 (0)	1 (20)	7 (9)
INCREASED ACCESS TO THE SYSTEM (BY JOINING A UTILITY OR ADDING CRT'S)	5 (10)	0 (0)	0 (0)	0 (0)	2 (40)	7 (9)
INCREASED INVOLVEMENT IN THE NAME AUTHORITY COOPERATIVE PROJECT (NACO)	4 (8)	0 (0)	0 (0)	0 (0)	0 (0)	4 (5)
NLM'S DECISION TO MORE CLOSELY FOLLOW LC PRACTICES	1 (2)	0 (0)	0 (0)	0 (0)	1 (20)	2 (3)
TOTAL NUMBER OF REASONS GIVEN FOR THE INCREASE (SOME LIBRARIES GAVE MORE THAN ONE REASON)	87	14	5	9	10	125

QUESTION 19A/PAGE2

NOTES:

NUMBER OF LIBRARIES REPORTING AN INCREASE (QUESTION 18)	48	15	5	7	5	80
NUMBER OF LIBRARIES ANSWERING THIS QUESTION	48	12	5	7	5	77

*PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

QUESTION 19B: IF THERE HAS BEEN A DECREASE IN THE AMOUNT OF USE OF THE LC NAME AUTHORITY FILE ON A SYSTEM, DESCRIBE BRIEFLY THE CAUSE(S) OF THE DECREASE:

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
SYSTEM DOWNTIME AND SLOW RESPONSE	2 (100)*	0 (0)	0 (0)	0 (0)	0 (0)	2 (50)
POLICY/PROCEDURE CHANGE	1 (50)	0 (0)	0 (0)	0 (0)	0 (0)	1 (25)
FRUSTRATION WITH NON-AACR2 HEADINGS IN THE FILE	0 (0)	1 (100)	0 (0)	0 (0)	0 (0)	1 (25)
DECREASED NEED TO USE IT NOW THAT STAFF ARE FAMILIAR WITH AACR2	0 (0)	0 (0)	0 (0)	0 (0)	1 (100)	1 (25)
TOTAL NUMBER OF REASONS GIVEN FOR THE DECREASE (SOME LIBRARIES GAVE MORE THAN ONE REASON)	3	1	0	0	1	5

NOTES:

NUMBER OF LIBRARIES REPORTING A DECREASE (QUESTION 18)	2	1	0	0	1	4
NUMBER OF LIBRARIES ANSWERING THIS QUESTION	2	1	0	0	1	4

*PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

QUESTION 20: PLEASE LIST ANY PROBLEMS STAFF MEMBERS AT YOUR LIBRARY HAVE ENCOUNTERED IN USING THE LC NAME AUTHORITY FILE ON A SYSTEM. (WE ARE INTERESTED IN PROBLEMS WITH THE FILE RATHER THAN PROBLEMS WITH THE SYSTEM ON WHICH IT IS MOUNTED.)

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
DUPLICATE RECORDS IN THE FILE, OFTEN CONFLICTING	34 (43)*	12 (63)	3 (42)	1 (16)	2 (20)	52 (41)
REFERENCES NOT EVALUATED	16 (20)	5 (26)	0 (0)	1 (16)	0 (0)	22 (17)
TOO MANY NON-AACR2 RECORDS, NOT EVALUATED	17 (21)	4 (21)	0 (0)	1 (16)	3 (30)	25 (19)
FILE NOT COMPREHENSIVE ENOUGH: MANY NAMES MISSING	7 (8)	5 (26)	2 (28)	2 (33)	4 (40)	20 (15)
NON-FLIPPED HEADINGS	17 (21)	2 (10)	0 (0)	0 (0)	0 (0)	19 (15)
NAME CONFLICTS: INCONSISTENCY OF FORM OF NAME	5 (6).	6 (31)	2 (28)	0 (0)	4 (40)	17 (13)
LACK OF INTERNAL CONSISTENCY	11 (14)	0 (0)	0 (0)	0 (0)	0 (0)	11 (8)
UNIFORM TITLES NOT SEARCHABLE	6 (7)	3 (15)	0 (0)	0 (0)	0 (0)	9 (7)
AACR2 FORM DIFFERENT FROM BIBLIOGRAPHIC RECORD	6 (7)	2 (10)	0 (0)	0 (0)	0 (0)	8 (6)
SLOW UPDATE OF FILE	7 (8)	1 (5)	0 (0)	0 (0)	0 (0)	8 (6)
TYPOGRAPHICAL ERRORS	5 (6)	1 (5)	0 (0)	0 (0)	0 (0)	6 (4)
INSUFFICIENT DOCUMENTATION ON CODING, TERMINOLOGY, USAGE AND PRACTICE	6 (7)	0 (0)	0 (0)	0 (0)	0 (0)	6 (4)

QUESTION 20/PAGE2

HISTORY SCOPE NOTES SOMETIMES MISSING	5 (6)	0 (0)	0 (0)	0 (0)	1 (10)	6 (4)
OTHER RESPONSES (SEE BELOW)	86 (110)	19 (10)	2 (28)	3 (50)	3 (30)	113 (89)
TOTAL NUMBER OF PROBLEMS LISTED	228	60	9	8	17	322

NOTES:

(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION: 78 | 25 | 7 | 6 | 10 | 125

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) OTHER RESPONSES ARE SUMMARIZED BELOW.
(CODES FOLLOWING EACH RESPONSE INDICATE THE NUMBER AND TYPE(S) OF LIBRARIES MAKING THAT RESPONSE.)

CONFUSING ASPECTS: HEADINGS DESIGNATED AACR2 (OR AACR2-COMPATIBLE) THAT DO NOT SEEM TO COMPLY WITH RULES (2R); RECORD DISPLAY UNCLEAR (2R); FILE IS NOT USER-CORDIAL (1R); FAILURE TO DISTINGUISH BETWEEN VARIANT AND EARLIER FORMS OF NAMES (1R); INCONSISTENCIES BETWEEN LC AND NLC RECORDS (3R), SOURCE DATA NOTES SOMETIMES INADEQUATE TO DISTINGUISH BETWEEN HEADINGS (1R, 1A); SYMBOLS IN W-SUBFIELD DIFFICULT TO DECODE (1R); FRUSTRATION WITH DEFAULT VALUES IN CONTROL SUBFIELD (1R); NO EXPLANATIONS OF WHAT LC IS DOING (1R), 24-DIGIT CONTROL FIELD (1R, 1A); FIXED-FIELD DEFINITIONS UNCLEAR (1R); NOT ENOUGH USER AIDS AND LEGENDS (2A); /=W CODING STRING CONFUSING (1A, 1P); INCONSISTENT CODING FOR PRE-& POST-AACR2 (AND COMPATIBLE) RECORDS (3R).

QUALITY: INACCURACIES OF NON-LC INPUT (1R); INCOMPLETE RECORDS (3R); UNEVEN QUALITY OF RECORDS (1R); SEVERAL FIELDS NOT EDITED OR VERIFIED (1R); INCORRECT OR MISLEADING TAGS (3R), DUPLICATE ASN'S (2R); CODING ERRORS (1R); AUTHORITY RECORDS FROM CIP MATERIAL NOT ALWAYS CORRECT (3R); INCORRECT INFORMATION (1R, 1P); DELAY IN CORRECTING ERRORS (1R); MARC TAGS SOMETIMES MISSING (1R); ERRORS FROM THE FLIP (1R); INACCURATE/INCONSISTENT HEADINGS (3R); HEADINGS SOMETIMES MISCODED AS AACR2 (1R).

CROSS-REFERENCES: SEE ALSO ENTRIES WITHOUT CORRESPONDING AUTHORITY RECORDS (1R); APPROPRIATE CROSS-REFERENCES SOMETIMES NOT IN THE ONLINE FILE (2R); INCONSISTENCY IN CROSS-REFERENCES (3R); STATUS OF REFERENCE NOT INDICATED (1R); QUESTIONABLE CROSS-REFERENCES (2R); CROSS-REFERENCES INVALID FOR MOST CORPORATE HEADINGS (1R); MISSING SEE ALSO REFERENCES (1R); CROSS-REFERENCES CONFUSING (1M); NOT ALL 5XX ENTRIES REPRESENTED BY INDIVIDUAL RECORDS (1A); NEW FORM OF NAME DOES NOT ALWAYS CONTAIN A REFERENCE TO THE OLD FORM OF NAME (4A, 1A); MANY FOREIGN-LANGUAGE-EQUIVALENT XREFERENCES ARE UNNECESSARY, BUT HARD TO SORT BECAUSE LANGUAGE IS NOT GIVEN (1R, 1A); LC CROSS-REFERENCES ARE BASED ON LC CATALOG; MUST BE REVIEWED FOR USE AT OUR LIBRARY (2R); RELATIONSHIPS BETWEEN 4XX AND 5XX FIELDS OFTEN NOT EXPLAINED (1R); REFERENCES INCONSISTENT WITH HEADINGS (1A).

GEOGRAPHIC ENTRIES: NEED SUBJECT USAGE AS WELL AS AUTHOR USAGE FOR GEOGRAPHIC HEADINGS (1R); NEED MORE VERIFIED GEOGRAPHIC HEADINGS (2R); SOME GEOGRAPHIC HEADINGS HARD TO SEARCH (1R).

QUESTION 20/PAGE3

CORPORATE ENTRIES: INCONSISTENT USE OF NAME BETWEEN MAIN BODY AND SUBORDINATE PARTS (6R, 1M), HEADINGS FOR MANY SUB-BODIES NOT IN FILE (1R); CORPORATE HISTORY NOTES OUTDATED (1R); CORPORATE HEADINGS WITH MANY SUBORDINATE ELEMENTS ARE HARD TO SEARCH (1R, 2A, 3L), HIERARCHIC CROSS-REFERENCES NOT UPDATED TO AACR2 (1R); GOVERNMENT AGENCIES HARD TO SEARCH (1A).

RECORD CONTENT: NOT ENOUGH DETAILED INFORMATION (1R); DATES OF AUTHORITY DECISIONS AND UPDATES NOT GIVEN (1R, 1A); NOT ENOUGH EXPLANATORY NOTES (1R, 1A); HISTORY NOTES INSUFFICIENT OR UNCLEAR (1R, 1A).

OTHER: LACK OF ANNOUNCEMENT OF CHANGED NAMES (1R); ONLY NAME-TITLE AUTHORITY RECORDS AVAILABLE WHERE NAME ONLY WOULD BE FASTER (1R); NEED INDEX TO SUBFIELD "T" (2R); SOME RECORDS DIFFICULT TO LOCATE USING AVAILABLE SEARCH KEYS (2R); FROM TRUNCATED ENTRIES IS SOMETIMES HARD TO DISTINGUISH BETWEEN ENTRIES (1R); NO TITLE SEARCH (1A); SEARCH KEYS OFTEN PULL UP TOO MANY RECORDS (2A); NEED CONTROL NUMBER FROM FICHE TO FIND SOME RECORDS (1A); FILE LACKS SERIES (1R, 1M).

QUESTION 21: DOES YOUR LIBRARY CURRENTLY SUBSCRIBE TO "NAME AUTHORITIES, CUMULATIVE MICROFOM EDITION," THE QUARTERLY MICROFICHE VERSION OF THE LC NAME AUTHORITY FILE PUBLISHED BY THE LIBRARY OF CONGRESS? YES_____ NO_____

(NOTE: SOME RESPONDENTS ANSWERING "YES" RECEIVE THEIR COPY AS DEPOSITORY LIBRARIES; SOME ANSWERING "NO" RECEIVE A DEPOSITORY COPY. THE QUESTION SHOULD HAVE REFERRED TO "PAID" SUBSCRIPTIONS.)

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
YES	87 (89)	23 (71)	8 (32)	10 (71)	3 (21)	131 (71)
NO	9 (9)	8 (25)	16 (64)	4 (28)	10 (71)	47 (25)
NO RESPONSE	1 (1)	1 (3)	1 (4)	0 (0)	1 (7)	4 (2)
TOTAL	97	32	25	14	14	182

QUESTION 22: TO HOW MANY COPIES OF "NAME AUTHORITIES, CUMULATIVE MICROFORM EDITION" DOES YOUR LIBRARY CURRENTLY SUBSCRIBE?

(NOTE: RESPONDENTS WHO ANSWERED "NO" TO QUESTION 21 WERE TOLD TO SKIP THIS QUESTION; HENCE, NO "0" RESPONSES.)

PESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
0	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
1	62 (63)	23 (71)	8 (32)	10 (71)	3 (21)	106 (58)
2	8 (8)	2 (6)	0 (0)	0 (0)	0 (0)	10 (5)
3	5 (5)	0 (0)	0 (0)	0 (0)	0 (0)	5 (2)
4	5 (5)	0 (0)	0 (0)	0 (0)	0 (0)	5 (2)
5	1 (1)	0 (0)	0 (0)	0 (0)	0 (0)	1 (0)
6	1 (1)	0 (0)	0 (0)	0 (0)	0 (0)	1 (0)
7	2 (2)	0 (0)	0 (0)	0 (0)	0 (0)	2 (1)
8	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
9	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
10	1 (1)	0 (0)	0 (0)	0 (0)	0 (0)	1 (0)
NO RESPONSE	12 (12)	7 (21)	17 (68)	4 (28)	11 (78)	51 (28)
TOTAL	97	32	25	14	14	182

QUESTION 23: TO HOW MANY COPIES OF "NAME AUTHORITIES. CUMULATIVE MICROFORM EDITION" DO YOU EXPECT YOUR LIBRARY WILL SUBSCRIBE AT THIS TIME NEXT YEAR? ----------

(NOTE: RESPONSES TO THIS QUESTION ARE DISPLAYED BELOW ACCORDING TO WHETHER THE NUMBER OF SUBSCRIPTIONS FOR NEXT YEAR IS AN "INCREASE", "DECREASE", OR "REMAINS THE SAME" WHEN COMPARED WITH THIS YEAR'S NUMBER OF SUBSCRIPTIONS, AS INDICATED IN QUESTION 22.)

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
INCREASE	5 (5)	0 (0)	0 (0)	0 (0)	0 (0)	5 (2)
DECREASE	2 (2)	1 (3)	0 (0)	0 (0)	0 (0)	3 (1)
REMAINS THE SAME	75 (77)	23 (71)	8 (32)	8 (57)	3 (21)	117 (64)
NO RESPONSE	15 (15)	8 (25)	17 (68)	6 (42)	11 (78)	57 (31)
TOTAL	97	32	25	14	14	182

QUESTION 24A: IF YOUR ANSWER TO NUMBER 23 IS LESS THAN YOUR ANSWER TO NUMBER 22, PLEASE BRIEFLY EXPLAIN THE REASON(S) FOR THE DECREASE IN NUMBER OF SUBSCRIPTIONS:

NEED THE MOST CURRENT INFORMATION SO WILL USE ONLINE FILE MORE (1R); WILL USE THE ONLINE FILE MORE BECAUSE IT IS POSSIBLE TO SEARCH ON MORE POINTS OF ACCESS (1R).

(ONE RESPONDENT INDICATED A DECREASE BUT DID NOT GIVE A REASON)

QUESTION 24B: IF YOUR ANSWER TO NUMBER 23 IS LESS THAN YOUR ANSWER TO NUMBER 22, PLEASE BRIEFLY EXPLAIN THE REASON(S) FOR THE DECREASE IN NUMBER OF SUBSCRIPTIONS:

TWO DEPARTMENTS NOW SHARING A COPY WILL BE GEOGRAPHICALLY SEPARATED, SO ANOTHER COPY WILL BE NEEDED (1R); UNTIL DIFFICULTIES WITH THE SYSTEM ARE REACHED, WE WILL NEED MORE COPIES AS BACKUP (2R); NOT ENOUGH TERMINALS AT PRESENT FOR ONLINE USE, SO WILL NEED MORE FICHE COPIES (2R).

QUESTION 25: PLEASE LIST BRIEFLY THE PURPOSE(S) FOR WHICH NAME AUTHORITIES (MICROFORM EDITION) IS USED IN YOUR LIBRARY

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
SUBSTITUTE FOR THE ONLINE FILE WHEN SYSTEM IS DOWN OR HAS SLOW RESPONSE TIME	38 (43)*	10 (41)	1 (12)	2 (25)	2 (66)	53 (40)
VERIFY NAMES FOR CATALOGING	29 (32)	5 (20)	6 (75)	4 (50)	1 (33)	45 (34)
FOR SEARCHES THAT CANNOT BE DONE WELL, OR AT ALL, ON OCLC	14 (15)	3 (12)	1 (12)	0 (0)	1 (33)	19 (14)
SEARCH UNIFORM TITLE HEADINGS (130)	15 (17)	3 (12)	0 (0)	1 (12)	0 (0)	19 (14)
ESTABLISH OR VERIFY AACR2 ACCESS POINTS	10 (11)	5 (20)	1 (12)	1 (12)	1 (33)	18 (13)
SUBSTITUTE FOR THE ONLINE FILE WHEN (AND WHERE) A TERMINAL IS NOT AVAILABLE	11 (12)	6 (25)	1 (12)	0 (0)	0 (0)	18 (13)
ESTABLISH CROSS-REFERENCES	10 (11)	2 (8)	1 (12)	0 (0)	1 (33)	14 (10)
SAME AS QUESTION 16	10 (11)	4 (16)	0 (0)	0 (0)	0 (0)	14 (10)
FOR NOTES, EXPLANATIONS, AND OTHER INFORMATION NOT IN ONLINE FILE	7 (7)	1 (4)	0 (0)	0 (0)	0 (0)	8 (6)
TO VERIFY NAMES NOT IN THE ONLINE FILE	4 (4)	3 (12)	1 (12)	1 (12)	0 (0)	9 (6)
TO RESOLVE CONFLICTS IN AN AUTOMATED OR MANUAL FILE	7 (7)	0 (0)	0 (0)	1 (12)	0 (0)	8 (6)

QUESTION 25/PAGE2

FOR RETROSPECTIVE CONVERSION	4 (4)	1 (4)	2 (25)	0 (0)	0 (0)	7 (5)
TO FIND RECORD NUMBERS FOR FINDING RECORDS ONLINE	7 (7)	0 (0)	0 (0)	0 (0)	0 (0)	7 (5)
FOR BROWSING/SCANNING	7 (7)	0 (0)	0 (0)	0 (0)	0 (0)	7 (5)
TO AVOID SEARCH LIMITATIONS (E.G. 256 HITS MAXIMUM)	4 (4)	1 (4)	0 (0)	0 (0)	0 (0)	5 (3)
TO DOUBLE-CHECK INFORMATION FROM THE ONLINE FILE THAT APPEARS INACCURATE OR INCOMPLETE	4 (4)	0 (0)	0 (0)	0 (0)	1 (33)	5 (3)
HISTORY INFORMATION IS MORE LEGIBLE AND COMPLETE	4 (4)	0 (0)	0 (0)	0 (0)	0 (0)	4 (3)
TO FIND NAMES AFFECTED BY OCLC'S STOPWORD LIST	1 (1)	2 (8)	0 (0)	0 (0)	0 (0)	3 (2)
FOR INFORMATION DROPPED FROM THE ONLINE FILE AFTER REVISION OF A RECORD (E.G. FOR USE IN A CLOSED CARD CATALOG)	4 (4)	0 (0)	0 (0)	1 (12)	0 (0)	5 (3)
CORPORATE SEARCHES 9-5	1 (1)	1 (4)	0 (0)	0 (0)	1 (13)	3 (2)
ESTABLISH AUTHORITY RECORDS FOR A MANUAL AUTHORITY FILE	2 (2)	0 (0)	0 (0)	0 (0)	0 (0)	2 (1)
NACO PARTICIPATION	2 (2)	0 (0)	0 (0)	0 (0)	0 (0)	2 (1)
FOR REFERENCE WORK	0 (0)	0 (0)	2 (25)	0 (0)	0 (0)	2 (1)

VERIFY ENTRY FOR PRE-ORDER SEARCHING	1 (1)	0 (0)	1 (5)	0 (0)	0 (0)	2 (1)
OTHER RESPONSES LISTED BELOW	5 (5)	1 (4)	0 (0)	0 (0)	0 (0)	6 (4)
TOTAL NUMBER OF PURPOSES GIVEN	201	48	17	11	8	285

NOTES:

(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION	88	24	8	8	3	131

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) OTHER RESPONSES ARE SUMMARIZED BELOW.
(CODES FOLLOWING EACH RESPONSE INDICATE THE NUMBER AND TYPE(S) OF LIBRARIES MAKING THAT RESPONSE.)

OTHER RESPONSES: PRINT AVAILABILITY OF DIACRITICS (1R); TO FIND EXAMPLES OF RULE CHANGES AND CATALOGING PROBLEMS (1R); EASIER TO ACCESS (1R); CONTROL VARIANCE IN SERIES ENTRIES (1A); DETERMINE RELATIONSHIP BETWEEN GOVERNMENTAL DEPARTMENT NAMES (1R); VERIFY OR ESTABLISH CORPORATE HEADINGS (1R).

QUESTION 26: PLEASE LIST ANY PROBLEMS YOUR INSTITUTION HAS ENCOUNTERED IN USING NAME AUTHORITIES:

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
NOT CURRENT	45 (60)*	4 (28)	1 (50)	0 (0)	2 (100)	52 (55)
HEADERS HARD TO READ	18 (24)	2 (14)	0 (0)	0 (0)	0 (0)	20 (21)
SAME AS QUESTION 20 (AS APPLICABLE)	12 (16)	2 (14)	0 (0)	0 (0)	0 (0)	16 (17)
PRODUCTION ERRORS (DUPLICATE, MISSING, OR DEFECTIVE FICHE; FILING ERRORS)	6 (8)	1 (7)	0 (0)	1 (50)	0 (0)	8 (8)
UNEVALUATED RECORDS	5 (6)	0 (0)	0 (0)	1 (50)	1 (50)	7 (7)
INCONSISTENT AND CONFLICTING HEADINGS	6 (8)	1 (7)	0 (0)	0 (0)	0 (0)	7 (7)
FILE NOT LARGE ENOUGH	4 (5)	1 (7)	1 (50)	0 (0)	0 (0)	6 (6)
OTHER RESPONSES (SEE BELOW)	22 (29)	7 (5)	0 (0)	3 (150)	0 (0)	32 (34)
TOTAL NUMBER OF PURPOSES GIVEN	118	18	2	5	3	146

NOTES:

(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION: 74 | 14 | 2 | 2 | 2 | 94

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) OTHER RESPONSES ARE SUMMARIZED BELOW.
(CODES FOLLOWING EACH RESPONSE INDICATE THE NUMBER AND TYPE(S) OF LIBRARIES MAKING THAT RESPONSE.)

QUESTION 26/PAGE2

OTHER RESPONSES: CODING FOR AACR2 UNCLEAR (3R)¦ INCONSISTENT WITH MARC AUTHORITY FORMAT (3R)¦ DIFFICULTY WITH CODES (1R), 1A, 1L)¦ LACK OF GOOD PRINTED GUIDE (3R)¦ RETRO ENTRIES (3R)¦ TEDIOUS TO USE (3R, 1A)¦ DUPLICATE RECORDS (1A, 1L)¦ LACKS COORDINATE INDEX (1R)¦ DIACRITICS UNCLEAR (1R)¦ CONTROL CODES ON CROSS-REFERENCES ARE PUZZLING (1R)¦ NOT ALWAYS CLEAR WHICH DECISION IS THE LATEST (1R)¦ DIFFICULT TO PRINT (1R)¦ CONTAINS LESS INFORMATION THAN THE ONLINE FILE (1R)¦ AACR2 ENTRY NOT ALWAYS IN 1XX (1A)¦ NUMEROUS DEADEND ENTRIES (1A)¦ DATE OF LAST UPDATE NOT GIVEN (1A)¦ NOTES NOT CLEAR (1A)¦ LACK OF CROSS-REFERENCES (1L)

QUESTION 27: WOULD YOU EXPECT YOUR LIBRARY TO USE THE NAME AUTHORITY FILE SERVICE WHEN IT IS AVAILABLE?
YES_____ NO_____

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
YES	91 (93)	28 (87)	16 (64)	13 (92)	10 (71)	158 (86)
NO	2 (2)	1 (3)	6 (24)	0 (0)	2 (14)	11 (6)
NO RESPONSE	4 (4)	3 (9)	3 (12)	1 (7)	2 (14)	13 (7)
TOTAL	97	32	25	14	14	182

QUESTION 27A: IF YOU WOULD NOT EXPECT YOUR LIBRARY TO USE THE NAME AUTHORITY FILE SERVICE, PLEASE INDICATE YOUR REASON(S):

NOTE: THE RESPONSES GIVEN TO THIS QUESTION ARE LISTED BELOW.

WE DO NOT DO ENOUGH ORIGINAL CATALOGING TO JUSTIFY THE EXPENSE INVOLVED OR THE SEARCH TIME INVOLVED.

ALL BUT A VERY FEW OF OUR BOOKS ARE ORDERED FROM, AND CATALOGED AND PROCESSED BY, THE NASSAU LIBRARY SYSTEM.

WE FEEL THAT USE AND MAINTENANCE AT A NAME AUTHORITY FILE IS TOO COSTLY FOR OUR LIBRARY AND THAT WE CAN BASICALLY ACHIEVE ADEQUATE RESULTS USING OUR CARD CATALOG AND LC COPY AS AVAILABLE THROUGH CIP AND TRADITIONAL CATALOGING TOOLS.

TOTALLY USELESS FOR OUR LIBRARY.

WE DON'T HAVE STAFF TIME AVAILABLE TO DO FULL AUTHORITY WORK.

THE INFORMATION WE NEED IS AVAILABLE TO US FROM THE NAME AUTHORITY FILE THROUGH OCLC, WHICH WE ALREADY PAY FOR.

WE MAKE LIMITED USE OF ANY NAME AUTHORITY COMPILATIONS BECAUSE OF OUR SIZE AND HOMOGENEITY OF OUR COLLECTION.

MOSTLY EXPENSES!

NAME AUTHORITY FILE IN OUR LIBRARY IS THE EASIEST TO MAINTAIN. WE ONLY MAKE AN ENTRY IF THERE IS A NEED FOR A CROSS REFERENCE OR SEE ALSO REFERENCE. THERE IS VERY LITTLE TIME SPENT CHECKING ON VARIANT FORMS OF A NAME. ALSO, WE STILL WOULD LIKE TO BE FREE TO CHOOSE THE FORM OF A NAME, PARTICULARLY WITH OUR CODOC SYSTEM FOR GOVERNMENT BODIES.

PRESENTLY USING/LINKING WITH SHARAF/UTLAS AUTHORITIES (INCLUDES SUBJECTS).

ASSUMING THE NAME AUTHORITY FILE SERVICE WERE AVAILABLE IN THE FOLLOWING FORMATS, WHICH FORMAT(S) WOULD YOU EXPECT YOUR LIBRARY TO USE? (YOU MAY CHECK MORE THAN ONE.)

QUESTION 28:

_____ONLINE
_____MAGNETIC TAPE
_____MICROFORM
_____PAPER COPY (A POSSIBILITY ONLY)
_____OTHER (PLEASE EXPLAIN)

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
ONLINE	91 (44)	29 (54)	16 (48)	14 (60)	9 (34)	159 (47)
MAGNETIC TAPE	32 (15)	2 (3)	1 (3)	1 (4)	5 (19)	41 (12)
MICROFORM	74 (36)	19 (35)	12 (36)	6 (26)	7 (26)	118 (34)
PAPER COPY	5 (2)	1 (1)	0 (0)	2 (8)	3 (11)	11 (3)
OTHER	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
NO RESPONSE	1 (0)	2 (3)	4 (12)	0 (0)	2 (7)	9 (2)
TOTAL	203	53	33	23	26	338

QUESTION 29: WHAT SPECIAL FEATURES, IF ANY, WOULD YOU WANT OR EXPECT AN ONLINE NAME AUTHORITY FILE SERVICE TO HAVE?

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
INSTANT UPDATE OF FILE AND INDEX	24 (30)*	2 (11)	1 (11)	2 (22)	1 (25)	30 (25)
FLEXIBLE AND EFFICIENT SEARCH CAPABILITIES	10 (12)	2 (11)	2 (22)	0 (0)	0 (0)	14 (11)
CAPACITY TO LINK AUTHORITY AND BIBLIOGRAPHIC FILES, WITH AUTOMATIC UPDATE OF LATTER	7 (8)	2 (11)	2 (22)	0 (0)	0 (0)	11 (9)
RIGOROUS QUALITY CONTROL FOR ACCURACY, CONSISTENCY, ELIMINATION OF DUPLICATES	5 (6)	2 (11)	2 (22)	0 (0)	0 (0)	9 (7)
ABILITY TO TRANSFER RECORDS INTO A LOCAL ONLINE AUTHORITY SYSTEM	10 (12)	0 (0)	0 (0)	0 (0)	0 (0)	10 (8)
OTHER RESPONSES (SUMMARIZED BELOW)	165	33	9	11	6	224
TOTAL NUMBER OF SPECIAL FEATURES SUGGESTED	221	41	16	13	7	298
NOTES:						
(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION	78	18	8	9	4	117

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) OTHER RESPONSES ARE SUMMARIZED BELOW.
(CODES FOLLOWING EACH RESPONSE INDICATE THE NUMBER AND TYPE(S) OF LIBRARIES MAKING THAT RESPONSE.)

SEARCHING: KEYWORD (9R,2M); BY ALL VARIANT FORMS AND CROSS REFERENCES (5R,3A,2L); UNIFORM TITLE (5R,1A), IMPROVE SEARCH KEYS (6R), BOOLEAN (3R,1L,1M), BROWSING (4R), RIGHT-TRUNCATED (3R), REMOVE SEARCHING LIMITS (3R), AUTHOR-UNIFORM TITLE (2R,1A), FLEXIBILITY IN USE OF STOPLIST (1R,1A,1M), REDUCE NEED FOR RE-KEYING DURING SEARCH (3R), QUICK SEARCH STRATEGY (1R,1P), TITLE (1R,1A), AUTHOR-TITLE (1R,1A), RESTRICT LENGTHY SEARCHES (2A), FULL VALUE (1R), BY CORPORATE SUB-BODIES (1R)

RECORD CONTENTS: INCLUDE CLASS NUMBER FOR LITERARY AUTHORS (2R); NAME INSTITUTION THAT ESTABLISHED OR MODIFIED THE HEADING (8R,2A,1P,1L); DATE OF ENTRY AND REVISIONS (1R,2A); SOURCE(S) USED TO ESTABLISH HEADING (5R,1L); INCLUDE MARC TAGS (1R); INDICATE CLEARLY WHETHER AACR2, NON-AACR2, AACR2-COMPATIBLE (3R,2A); INCLUDE BRIEF BIOGRAPHICAL DATA (1R); CITE AACR2 RULE/INTERPRETATION USED (2R); FULL MARC AUTHORITIES RECORD AND FORMAT (1R,1A,1L); USE LESS OBSCURE CODING (2R,1A), INCLUDE MORE HISTORY INFORMATION, ESPECIALLY FOR CORPORATE, GOVERNMENT, AND GEOGRAPHICAL NAMES (9R,1L); INCLUDE MORE DETAILED INFORMATION AND RELEVANT NOTES (2R), INDICATE RELATED BODIES CLEARLY (1R), DESIGNATE FIELD(S) FOR ADDING LOCAL INFORMATION (1R); IDENTIFY 4XX FIELD THAT REPRESENTS PREVIOUS LC ENTRIES (1R), LIST ALL CROSS-REFERENCES (1R); USE FULL AACR2 FOR (2R,1A,1L); NOTE LANGUAGE OF CROSS REFERENCES (1R), MORE COMPREHENSIVE SCOPE NOTES (1R,1A); INDICATE DATE OF LAST USE OF THE RECORD (1R), MORE COMPREHENSIVE SCUPE NOTES (1R,1A); INDICATE DATE OF LAST USE OF THE RECORD (1R); BASE 4XX AND 5XX TAGGING ON THE HISTORY OFTHE ORGANIZATION, RATHER THAN ON LC'S CATALOGING (1R); LATEST ADDRESS FOR CORPORATE BODIES (1M).

DISPLAY: DIFFERENT DISPLAYS FOR PUBLIC VS. TECHNICAL SERVICES USE (2R,1A); TRANSPARENT CROSS-REFERENCES; ESPECIALLY FOR PUBLIC USE (4R,1M); FULL DIACRITICS DISPLAY (1R); DISPLAY MARC TAGS INSTEAD OF MNEMONICS (1R); ONLINE FORMAT AND FICHE FORMATS AND CODES SHOULD BE SIMILAR (1A); USE AACR2 FORM IN CROSS-REFERENCES (1R); EASY TO READ DISPLAY FORMAT (1A); USE LEGENDS RATHER THAN FIXED FIELDS TO DESCRIBE RECORD STATUS (1R).

DATABASE: INCLUDE SERIES (5R,1A); INCLUDE SUBJECTS (3R); INCLUDE VALID, EXTENSIVE ROSS-REFERENCE STRUCTURE (6R,1A,1L).

QUALITY CONTROL: USE LC STANDARDS AND POLICIES (2R); FACILITATE ERROR REPORTING BY ANY USER, USING ELECTRONIC MAIL (6R,1A); ASSURE PROMPT ACTION ON ERRORS REPORTED (1R); ASSURE ACCURACY (1R); ASSURE INTEGRITY (1R); ASSURE CONSISTENCY (2R,1P); UTILIZE ONLINE VALIDATION FOR ERROR AND DUPLICATE ELIMINATION (2R,2A); ASSURE UNIFORMITY BETWEEN HEADINGS AND SUBDIVISIONS (2R).

AVAILABILITY: IMPLEMENT ON ALL MAJOR UTILITIES (1R); ALWAYS AVAILABLE (1R); HAVE REGULAR LOADING OF TAPES ONTO ANY SYSTEM USING IT (1R); ACCESS TO CORPORATE NAMES AT ALL TIMES (1A,2L).

OTHER SPECIAL FEATURES: ABILITY TO ADD LOCALLY INTERESTING CROSS-REFERENCES (1R); NOTIFICATION OF NAME CHANGES (2R,1A,1P); INTERACTIVE CAPABILITIES WITH LOCAL SYSTEMS (1R); ALLOW OVERRIDE FOR LOCAL DECISIONS (1R); ALLOW INTEGRATION WITH THE AUTHORITY HIERARCHIES OF OTHER UTILITIE (E.G., SHARAF) (1R); GLOBAL UPDATING (1R,1A); ABILITY TO EDIT RECORDS FOR LOCAL USE (2R,1P); ABILITY TO PRODUCE AUTHORITY CARDS AND CROSS-REFERENCES FOR LOCAL USE (2R,1A,3P); ENABLE RETRIEVAL OF NAMES ADDED OR CHANGED OVER A TIME PERIOD (1R); ABILITY TO AUTOMATICALLY UPDATE ARCHIVAL TAPES (1P); LOW-COST DATA COMMUNICATIONS (1R); EASY TO USE/USER CORDIAL (4R,2A); ABILITY TO DISPLAY HOLDINGS ATTACHED TO INDIVIDUAL AUTHORITY RECORDS FOR INSTITUTIONS THAT HAVE USED THOSE HEADINGS (2R); AUTOMATIC GENERATION OF AUTHORITY RECORDS FOR NAMES USED AS SUBJECTS (1R); DIFFERENTIATE BETWEEN REFERENCES CRITICAL FOR FINDABILITY AND LESS IMPORTANT ONES (1R); WHEN AN ENTRY IS LISTED MORE THAN ONCE ON A SUMMARY DISPLAY SCREEN, DISTINGUISH BETWEEN THEM (1R); ABLE TO ACCEPT DECENTRALIZED INPUT AND UPDATE (2R).

QUESTION 30: WHAT SPECIAL FEATURES, IF ANY, WOULD YOU WANT OR EXPECT A MICROFORM NAME AUTHORITY FILE SERVICE TO HAVE?

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
FREQUENT CUMULATION AND UPDATE	32 (57)*	5 (33)	2 (33)	3 (50)	2 (40)	44 (50)
SAME AS QUESTION 29	13 (23)	5 (33)	2 (33)	2 (33)	0 (0)	22 (25)
GOOD CROSS-REFERENCE STRUCTURE	5 (8)	1 (6)	2 (33)	3 (50)	1 (20)	12 (13)
EASY TO READ HEADERS	6 (10)	1 (6)	0 (0)	0 (0)	0 (0)	7 (7)
LARGER PRINT	5 (8)	1 (6)	0 (0)	0 (0)	0 (0)	6 (6)
GOOD INSTRUCTIONS FOR USE	4 (7)	1 (6)	0 (0)	0 (0)	0 (0)	5 (5)
INCLUDE RELEVANT NOTES AND HISTORY	2 (3)	0 (0)	1 (16)	2 (33)	0 (0)	5 (5)
CLEAR DESIGNATION OF AACR2 AND AACR2-COMPATIBLE HEADINGS	3 (5)	0 (0)	1 (16)	2 (33)	0 (0)	5 (5)
OTHER RESPONSES (SEE BELOW)	24 (42)	4 (26)	2 (33)	2 (33)	1 (20)	33 (37)
TOTAL NUMBER OF FEATURES LISTED	94	18	10	13	4	139

NOTES:

(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION: 56 | 15 | 6 | 6 | 5 | 88

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) OTHER RESPONSES ARE SUMMARIZED BELOW.
(CODES FOLLOWING EACH RESPONSE INDICATE THE NUMBER AND TYPE(S) OF LIBRARIES MAKING THAT RESPONSE.)

QUESTION 30/PAGE2

OTHER RESPONSES: INCLUDE SERIES (2R,1A); FICHE, NOT FILM (2R,1A); FULL DISPLAY OF MARC AUTHORITY (2R,1A); FEWER ERRORS (2R); USER-CORDIAL FORMAT (2R); TITLE SEARCH (1R,1A); IDENTIFY INPUTTING AGENCY (1R,1P,1L); COMPREHENSIVE INDEX (1L,1M); REMOVE NON-AACR2 HEADINGS (1R); USE SAME CODES AS ONLINE FILE (1R); RETAIN COLUMN LAYOUT (VICE PAGE LAYOUT) (1R); LOW COST (1R); 48X REDUCTION (1R); PERMUTED ACCESS (1R); INDEX/REGISTER FORMAT (1R); FULL AACR2 FORM (1R); GRID COORDINATE INDEX (1R); CONSISTENT DENSITY AND CONTRAST (1R); INCLUDE SUBJECTS (1R); INCLUDE NON-ROMAN SCRIPTS (1R); DESIGNATE NEWLY ADDED NAMES (1P).

QUESTION 31: WHAT SPECIAL FEATURES, IF ANY, WOULD YOU WANT OR EXPECT A PAPER COPY FORMAT TO HAVE?

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
WOULD NOT USE THIS FORMAT	15 (44)*	2 (33)	0 (0)	0 (0)	1 (33)	18 (34)
SAME ANSWER AS QUESTION 30	9 (26)	1 (16)	1 (25)	3 (60)	0 (0)	14 (26)
REGULAR AND FREQUENT CUMULATIONS/SUPPLEMENTS	4 (11)	1 (16)	1 (25)	1 (20)	1 (33)	8 (15)
SAME ANSWER AS QUESTION 29	2 (5)	1 (16)	0 (0)	2 (40)	0 (0)	5 (9)
EXTENSIVE CROSS-REFERENCES	2 (5)	0 (0)	1 (25)	0 (0)	1 (33)	4 (7)
OTHER RESPONSES (SEE BELOW)	5 (14)	1 (16)	1 (25)	1 (20)	0 (0)	8 (15)
TOTAL NUMBER OF RESPONSES	37	6	4	7	3	57
NOTES:						
(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION	34	6	4	5	3	52

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) OTHER RESPONSES ARE SUMMARIZED BELOW.
(CODES FOLLOWING EACH RESPONSE INDICATE THE NUMBER AND TYPE(S) OF LIBRARIES MAKING THAT RESPONSE.)

OTHER RESPONSES: ACCURACY (1R); LEGIBLE PRINT (2R); ELIMINATION OF NON-AACR2 HEADINGS (1R); SIMPLIFIED DISPLAY FOR PUBLIC SERVICES USE (NO MARC TAGS) (1R); TITLE SEARCH (1A); FORMAT SIMILAR TO LCSH (1P); LOW COST (1L).

QUESTION 32: ONLINE ACCESS TO THE NAME AUTHORITY FILE SERVICE WILL HAVE TO BE PRICED IN A FAIR AND REASONABLE WAY. WHICH OF THE FOLLOWING WAY(S) OF CHARGING WOULD YOU PREFER? (IF YOU INDICATE MORE THAN ONE, PLEASE INDICATE A PRIORITY, WITH "1" INDICATING FIRST PREFERENCE, ETC.)

_____PRICE BASED ON AMOUNT OF TIME SPENT ON THE SYSTEM
_____PRICE BASED ON NUMBER OF HEADINGS FOUND: A PER RECORD CHARGE
_____PRICE A SUBSCRIPTION CHARGE (IF YOU CHOOSE THIS ONE, PLEASE SUGGEST HOW THAT CHARGE MIGHT BE SET: E.G., BY AMOUNT OF CATALOGING DONE THE PREVIOUS YEAR, ETC.)
_____OTHER (PLEASE EXPLAIN)

(EXPLANATION OF TABLE: RESPONSE "TIME 1", FOR EXAMPLE, REFERS TO THOSE RESPONDENTS WHO INDICATED "PRICE BASED ON AMOUNT OF TIME..." AS THEIR FIRST CHOICE FOR PRICE SETTING: "TIME 2" REFERS TO THOSE WHO RATED "PRICE BASED ON AMOUNT OF TIME..." AS THEIR SECOND CHOICE, ETC.)

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
TIME - 1	16 (12)	3 (6)	4 (15)	2 (10)	3 (15)	28 (11)
TIME - 2	3 (2)	2 (4)	1 (3)	2 (10)	2 (10)	10 (4)
TIME - 3	1 (0)	2 (4)	0 (0)	0 (0)	0 (0)	3 (1)
TIME - 4	1 (0)	0 (0)	0 (0)	0 (0)	0 (0)	1 (0)
RECORD - 1	31 (24)	13 (30)	6 (23)	7 (36)	6 (31)	63 (26)
RECORD - 2	9 (7)	4 (9)	0 (0)	0 (0)	1 (5)	14 (5)
RECORD - 3	2 (1)	0 (0)	0 (0)	0 (0)	0 (0)	2 (0)
RECORD - 4	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
SUBSCRIPTION - 1	25 (19)	12 (27)	2 (7)	1 (5)	3 (15)	43 (18)
SUBSCRIPTION - 2	4 (3)	1 (2)	0 (0)	1 (5)	0 (0)	6 (2)
SUBSCRIPTION - 3	3 (2)	1 (2)	0 (0)	1 (5)	1 (5)	6 (2)
SUBSCRIPTION - 4	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
OTHER - 1	21 (16)	1 (2)	0 (0)	5 (26)	0 (0)	27 (11)
OTHER - 2	1 (0)	0 (0)	0 (0)	0 (0)	1 (5)	2 (0)
OTHER - 3	1 (0)	0 (0)	0 (0)	0 (0)	0 (0)	1 (0)
OTHER - 4	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
NO RESPONSE	10 (7)	4 (9)	13 (50)	0 (0)	2 (10)	29 (12)
TOTAL	128	43	26	19	19	235

QUESTION 32A: (EXPLANATIONS BY RESPONDENTS CHECKING "OTHER" ON QUESTION 32.)

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
EACH UTILITY SHOULD SET ITS OWN PRICING STRUCTURE FOR PROVISION OF SERVICES BASED ON NAFS	5 (21)*	1 (100)	0 (0)	4 (8)	0 (0)	10 (33)
HOPE USE OF THE FILE ON OCLC REMAINS FREE	2 (8)	0 (0)	0 (0)	2 (4)	0 (0)	4 (13)
PROVIDE DISCOUNT (OR OTHER INCENTIVE) FOR NAFS CONTRIBUTORS	3 (13)	0 (0)	0 (0)	0 (0)	0 (0)	3 (10)
CHARGE ONLY FOR AUTHORITY RECORDS ACTUALLY USED	2 (8)	0 (0)	0 (0)	0 (0)	0 (0)	2 (6)
PRICING MUST BE FAIR AND EQUITABLE	2 (8)	0 (0)	0 (0)	0 (0)	0 (0)	2 (6)
TOTAL NUMBER OF "OTHER" COMMENTS MADE	19	1	0	6	1	27
NOTES:						
(1) NUMBER OF LIBRARIES MAKING "OTHER" COMMENTS	23	1	0	5	1	30

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) OTHER RESPONSES ARE SUMMARIZED BELOW.
(CODES FOLLOWING EACH RESPONSE INDICATE THE NUMBER AND TYPE(S) OF LIBRARIES MAKING THAT RESPONSE.)

OTHER RESPONSES (SEE BELOW)

CHARGE PER RECORD WITH DISCOUNT FOR QUANTITY (1R); SUBSCRIPTION CHARGE, WITH DISCOUNT BASED ON NUMBER OF NEW BIBLIOGRAPHIC RECORDS CONTRIBUTED LAST YEAR (1R); INCLUDE WITH SUBSCRIPTION TO MARC SERVICE (1R); FOR ONLINE USE, CHARGE A FLAT RATE PLUS A CHARGE BASED ON USE (1R); FOR ONLINE USE, CHARGE A FLAT RATE (1R); CHARGE FOR NUMBER OF HEADINGS SEARCHED (1M).

QUESTION 33: PLEASE USE THIS SPACE TO MAKE SUGGESTIONS ABOUT PRICING OF MICROFORM, TAPE AND PAPER COPY EDITIONS OF THE NAME AUTHORITY FILE SERVICE.

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
CHARGE A FIXED SUBSCRIPTION RATE THAT COVERS COSTS	9 (29)*	1 (25)	0 (0)	0 (0)	1 (50)	11 (25)
KEEP THE PRICE OF THE MICROFORM EDITION LOW SO ALL LIBRARIES CAN AFFORD IT; KEEP PRICES OF OTHER FORMATS LOW & REASONABLE	6 (19)	1 (25)	3 (60)	1 (50)	0 (0)	11 (25)
BASE COST OF EACH PRODUCT ON COST OF PRODUCING IT; PRICE OF 1 PRODUCT SHOULD NOT SUBSIDIZE COST OF ANOTHER	4 (12)	3 (75)	0 (0)	0 (0)	0 (0)	7 (15)
USE A VARIABLE SUBSCRIPTION RATE BASED ON EXPECTED USAGE OF THE SYSTEM (E.G., BASED ON AVERAGE CATALOGING LAST 3 YEARS, OR BOOK BUDGET)	3 (9)	0 (0)	1 (20)	0 (0)	0 (0)	4 (9)
ALLOW DISCOUNTS FOR ADDITIONAL COPIES IN THE SAME OR ANOTHER MEDIUM	3 (9)	0 (0)	0 (0)	0 (0)	0 (0)	3 (6)
OTHER PRICING STRUCTURES: INCLUDE COST OF FILE MAINTENANCE; CHARGE COST OF THE MEDIUM PLUS A PER RECORD CHARGE	1 (3)	0 (0)	0 (0)	0 (0)	1 (50)	2 (4)
PRICE FOR ONLINE USE ON A UTILITY SHOULD BE COMPARABLE TO OTHER PER RECORD CHARGES	1 (3)	0 (0)	0 (0)	0 (0)	0 (0)	1 (2)
TOTAL NUMBER OF SUGGESTIONS MADE	3	5	4	2	2	44

QUESTION 33/PAGE2

NOTES:

(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION 31 4 5 2 2 44

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

QUESTION 34: WHAT CHANGES, IF ANY, WOULD YOU EXPECT THE AVAILABILITY OF THE NAME AUTHORITY FILE SERVICE TO MAKE IN THE OPERATIONS AND SERVICES OF YOUR LIBRARY?

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
REDUCE TIME FOR AUTHORITY WORK; SPEED UP CATALOGING AND RETROSPECTIVE CONVERSION; REDUCE UNIT COSTS	53 (67)*	8 (53)	4 (33)	4 (50)	5 (62)	74 (61)
IMPROVE LOCAL FILES AND DATABASES; INTEGRITY, CURRENCY, CONSISTENCY AND ACCURACY	13 (16)	1 (6)	3 (25)	1 (12)	3 (37)	21 (17)
IMPROVE PUBLIC SERVICES AND ACCESS TO THE COLLECTION	5 (6)	2 (13)	2 (16)	1 (12)	1 (12)	11 (9)
IMPROVE CAPABILITY FOR EXCHANGE OF BIBLIOGRAPHIC DATA WITH OTHER LIBRARIES (LOCALLY, REGIONALLY, NATIONALLY)	6 (7)	2 (13)	1 (8)	0 (0)	0 (0)	9 (7)
REDUCE STAFF COSTS; ALLOW REALLOCATION OF RESOURCES	7 (8)	0 (0)	0 (0)	0 (0)	1 (12)	8 (6)
FACILITATE DEVELOPMENT OF, OR IMPROVE, AN ONLINE CATALOG; ALLOW GLOBAL CHANGES, CONTROL OF CROSS-REFERENCES, ETC.	4 (5)	3 (20)	0 (0)	0 (0)	0 (0)	7 (5)
MAKE LIBRARY MATERIALS AVAILABLE MORE QUICKLY; REDUCE BACKLOGS	4 (5)	2 (13)	0 (0)	0 (0)	0 (0)	6 (4)
MORE TERMINAL TIME WILL BE NEEDED (ON A UTILITY)	2 (2)	0 (0)	0 (0)	1 (12)	0 (0)	3 (2)

NO CHANGES EXPECTED; UNABLE TO PROJECT CHANGES AT THIS TIME	5 (6)	2 (13)	3 (25)	0 (0)	1 (12)	11 (9)
TOTAL NUMBER OF CHANGES LISTED	99	20	13	7	11	150

NOTES:

(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION	78	15	12	8	8	121

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

(3) OTHER RESPONSES ARE SUMMARIZED BELOW.
(CODES FOLLOWING EACH RESPONSE INDICATE THE NUMBER AND TYPE(S) OF LIBRARIES MAKING THAT RESPONSE.)

OTHER RESPONSES: ELIMINATE NEED FOR IN-HOUSE AUTHORITY FILE (1R); ENABLE AUTOMATION OF LOCAL AUTHORITY FILE (1R); INCREASE COST OF CATALOGING (1R); FACILIATE AACR2 IMPLEMENTATION (1P); INFLUENCE CHOICE OF UTILITY TO JOIN (1L); SPEED UP ILL REQUEST PROCESSING (M).

QUESTION 35: WHAT CHANGES CAN YOU FORESEE IN YOUR LIBRARY THAT, OVER THE NEXT FIVE YEARS, MIGHT AFFECT YOUR USE OF THE NAME AUTHORITY FILE SERVICE?

RESPONSE	RESEARCH LIBRARIES	ACADEMIC LIBRARIES	PUBLIC LIBRARIES	LAW LIBRARIES	MEDICAL LIBRARIES	ALL LIBRARIES
IMPLEMENTATION OF AN ONLINE CATALOG	37 (54)*	7 (43)	3 (21)	4 (57)	1 (12)	52 (46)
DEVELOPMENT OF, OR CHANGE IN, ONLINE AUTHORITY FILES AND/OR AUTOMATIC SYSTEMS IN-HOUSE OR ON UTILITIES, NETWORKS OR VENDORS	20 (29)	2 (12)	2 (14)	0 (0)	3 (37)	37 (23)
RETROSPECTIVE CONVERSION (CONTINUATION OR BEGINNING	5 (7)	1 (6)	3 (21)	0 (0)	1 (12)	10 (8)
CHANGES IN TECHNICAL SERVICE OPERATIONS (E.G., CENTRALIZATION)	3 (4)	0 (0)	2 (14)	1 (14)	1 (12)	7 (6)
BUDGETARY CONSTRAINTS	3 (4)	3 (18)	0 (0)	0 (0)	0 (0)	6 (5)
NO MAJOR CHANGES EXPECTED	3 (4)	2 (12)	0 (0)	0 (0)	1 (12)	6 (5)
END OF RETROSPECTIVE CONVERSION, AACR2 CONVERSION	3 (4)	2 (12)	0 (0)	0 (0)	0 (0)	5 (4)
CONVERSION TO A COM CATALOG	1 (1)	2 (12)	1 (7)	1 (14)	0 (0)	5 (4)
DECREASE IN ORIGINAL CATALOGING BECAUSE OF USE OF UTILITIES	1 (1)	0 (0)	2 (14)	0 (0)	1 (12)	4 (3)
CONTINUATION OF AACR2 CONVERSION	0 (0)	1 (6)	1 (7)	1 (14)	0 (0)	3 (2)
MAJOR CHANGES IN CATALOGING RULES (E.G., AACR3)	1 (1)	0 (0)	0 (0)	0 (0)	1 (12)	2 (1)

QUESTION 35/PAGE2

BECOMING A NACO PARTICIPANT OR GPO DEPOSITORY LIBRARY	0 (0)	0 (0)	1 (7)	1 (14)	0 (0)	2 (1)
INCREASE IN AMOUNT OF MATERIALS TO BRING UNDER BIBLIOGRAPHIC CONTROL	1 (1)	0 (0)	0 (0)	0 (0)	0 (0)	1 (8)
DEVELOPMENTS AT NLM IN ONLINE SYSTEMS	0 (0)	0 (0)	0 (0)	0 (0)	1 (12)	1 (10
TOTAL NUMBER OF CHANGES GIVEN	78	20	15	8	10	131

NOTES:

(1) NUMBER OF LIBRARIES ANSWERING THIS QUESTION	68	16	14	7	8	113

(2) * PERCENTAGES IN THIS TABLE REPRESENT THE PERCENTAGE OF LIBRARIES ANSWERING THIS QUESTION THAT GAVE THIS RESPONSE.

QUESTION 36: PLEASE MAKE ANY OTHER COMMENTS OR SUGGESTIONS ABOUT THE NAME AUTHORITY FILE SERVICE.

47* LIBRARIES MADE COMMENTS AND SUGGESTIONS. HERE IS A SAMPLING OF THOSE COMMENTS:

NAME AUTHORITY FILE SERVICE EMBODIES THE CONCEPT OF MUTUAL COOPERATION OF RESEARCH LIBRARIES FOR THE COLLECTIVE BENEFIT THAT THE PROJECT WILL PROVIDE. HOWEVER, CAREFUL CONSIDERTION SHOULD BE GIVEN IN THE PLANNING STAGES TO THE EFFECT ON INDIVIDUAL INSTITUTIONS ASKED TO BE CONTRIBUTORS. CONTRIBUTING LIBRARIES WILL INCUR INCREASED EXPENSES TO MEET THE HIGH LEVEL OF QUALITY CONTROL PROPOSED AND AT THE SAME TIME WILL NEED TO MAINTAIN BOTH LOCAL AND NATIONAL FILES. IT APPEARS THAT SOME TYPE OF EXTRA BENEFIT OR INDUCEMENT MAY BE NECESSARY IN ORDER TO ENSURE THE CONTINUING SUPPLY OF HIGH QUALITY, TIMELY AUTHORITY DATA UNTIL THE PROJECT REACHES A LEVEL OF ACTIVITY THAT PROVIDES HIGHER RECIPROCITY AMONG ALL PARTICIPANTS.

WE SUGGEST THAT YOU PROCEED WITH THE DEVELOPMENT OF THE SYSTEM WITH ALL DELIBERATE SPEED. AVAILABILITY OF THE SERVICE SHOULD BE AS WIDE AS POSSIBLE, EVEN TO PRIVATE VENDORS. GOVERNANCE SHOULD REPRESENT THE NEEDS OF ALL TYPES OF PARTICIPATING LIBRARIES.

PRESENT PLANS FOR DISTRIBUTED DEVELOPMENT SHOULD BE CONTINUED, WITH AUTHORIZED LIBRARIES BEING EXPANDED IN NUMBER, FOR INPUT AND CORRECTION. ALTHOUGH THIS QUESTIONNAIRE RELATES TO NAME AUTHORITIES, SUBJECT AND SERIES SHOULD FOLLOW AS QUICKLY AS POSSIBLE.

IMPORTANT TO HAVE CLEAR, TIMELY MEANS OF COMMUNICATION, BOTH ONLINE AND OFFLINE, REGARDING THE STATUS OF AN AUTHORITY RECORD -- NEW, CHANGED, DELETED, ETC. REFERENCE STRUCTURE REQUIREMENTS ARE NOT ALWAYS THE SAME FOR AN ONLINE CATALOGUE AND A CARD CATALOGUE. WILL THE NAME AUTHORITY FILE SERVICE TRY TO SATISFY ALL CATALOGUE ENVIRONMENTS?

QUALITY CONTROL AND CONSISTENCY ARE IMPERATIVE. THERE SHOULD BE REVISION OF THE MORE DIFFICULT KINDS OF ENTRIES BEFORE THEY ENTER THE FILE. THERE SHOULD ALSO BE PROVISION FOR FEEDBACK (ON-LINE IS HIGHLY DESIRABLE) FROM USER LIBRARIES CONCERNING ERRORS AND PROBLEMS. THESE SHOULD BE CENTRALLY REVIEWED AND SPEEDILY RESOLVED. ONE AUTHORITY FILE RECORD MAY AFFECT MANY BIBLIOGRAPHIC RECORDS SO THAT AN ERROR MAY ENGENDER MUCH CONFUSION AND DELAY.

AN OPTION TO CREATE PROVISIONAL RECORDS (PERHAPS HANDLED BY THE INDIVIDUAL UTILTIES) WOULD BE ESSENTIAL SO THE LIBRARIES WHICH ARE NOT ONE OF THE "LIMITED NUMBER OF CONTRIBUTING LIBRARIES" COULD PROCESS MATERIALS WHICH HAVE UNVERIFIED ACCESS POINTS.

ONCE WE HAVE BASE NAF, WE WOULD NOT WANT TO RECEIVE THE COMPLETE FILE AGAIN BUT ONLY CHANGES AND ADDITIONS. ALSO INTERESTED IN LC SUBJECT AUTHORITY FILE ON SAME BASIS.

A "UNION" NAME AUTHORITY MONITORED BY LC SOUNDS LIKE STANDARDS WOULD BE ENFORCED. THIS SHOULD INCREASE THE WORTH OF THE FILE, AND DECREASE THE NEED TO MAINTAIN FILE INTEGRITY AT THE LOCAL LEVEL. STRONG CONDIDERATION SHOULD BE GIVEN TO INCLUSION OF SERIES AND SUBJECTS IN THIS SERVICE.

SHOULD BE EXPANDED TO INCLUDE SERIES IN THE NEAR FUTURE, SUBJECTS EVENTUALLY.

FOR LIBRARIES USING CARDS, SERVICE SHOULD GENERATE CROSS REFERENCE CARDS IF THESE COULD BE COST EFFECTIVE.

WE HOPE IT WILL AVOID THE BACKLOG PROBLEMS OF CONSER.

QUESTION 36/PAGE2

THERE IS A NEED FOR A SUBJECT AUTHORITY FILE SERVICE. COULD SUBJECTS BE INCORPORATED IN THE NAME AUTHORITY FILE SERVICE?

THE WAYS IN WHICH YOU SUGGEST THAT THE NAFS WOULD BE PRICED, INDICATES THAT NAFS IS ENVISIONED MAINLY AS A LOOK-UP SERVICE. WILL THERE BE ANY PRODUCTS OR SERVICES AVAILABLE TO THE USERS, E.G., THE POSSIBILITY OF PRINTING CROSS-REFERENCE AND AUTHORITY CARDS OR A TAPE OF AUTHORITY RECORDS NEEDED BY INDIVIDUAL LIBRARIES? THIS LAST POSSIBILITY WOULD BE USEFUL FOR LIBRARIES WHO CANNOT AFFORD OR DO NOT WISH TO BUY THE COMPLETE ON-LINE FILE. PRICING COULD THEN BE BASED ON USE OF A RECORD. IF NO SUCH SERVICES ARE OFFERED THEN A CHARGE BY TIME ON THE SYSTEM SEEMS MOST EQUITABLE. A CHARGE BASED ON RECORDS RETRIEVED MIGHT BE UNREASONABLE, CONSIDERING THE MULTIPLE RECORDS FOR BODY PLUS SUBDIVISIONS OR AUTHOR/TITLE OR UNIFORM TITLE COMBINATIONS.

AUTHORIZED INSTITUTIONS DO NOT NECESSARILY PROVIDE THE TYPE OF ENTRIES A SPECIAL LIBRARY, LIKE LAW, WOULD NEED. IT WOULD BE ADVANTAGEOUS TO HAVE ONE OF THESE INSTITUTIONS BE A LAW LIBRARY. THE SAME MAY ALSO HOLD TRUE OF MEDICAL LIBRARIES.

WHAT ABOUT SUPPLYING NLM'S NAME AUTHORITY FILE?

(*LIBRARIES RESPONDING TO THIS QUESTION: 34 RESEARCH, 4 ACADEMIC, 4 PUBLIC, 2 LAW, 2 MEDICAL.)

NAME AUTHORITY FILE SERVICE QUESTIONNAIRE

Instructions

As you complete this questionnaire, skip questions that you are unable to answer. Feel free to continue answers on the back of a page if necessary. Questions about this questionnaire should be directed to Keith Russell, Council on Library Resources, (202) 296-4757.

General Questions

1. Name of Person Completing Questionnaire _____

2. Title _____

3. Organization _____

4. Address _____

5. Phone _____

6. How many titles were cataloged at your library during your last fiscal year?

   _____

7. How many of those titles required original cataloging? _____

8. For how many titles was LC copy found? _____

9. For how many titles was non-LC copy found? _____

10. Does your library maintain its own name authority file?

    YES _____ NO _____

    (If you answered NO, please skip to question 12.)

11. Has your library recently done a study of the expense--either in dollars or in personnel hours--of maintaining the authority file?

    YES _____ NO _____

    (If YES, could you supply any data to us?)

12. Does your library currently have an online public catalog, or does it expect to have one in the next three years?

    YES _____ NO _____

13. If the answer to question 12 is YES, what type of authority control, if any, do (or will) you have for that online public catalog?

14. If your library currently uses the LC Name Authority File, please indicate the format(s) used:

_____ LC MARC Bibliographic File
_____ National Union Catalog (NUC)
_____ LC Name Authority File (on a system such as OCLC, WLN, etc.)
_____ LC Name Authority File on microfiche
_____ LC Name Authority File on tape
_____ Other (Please describe)

Questions 15-20 concern your library's use of the LC Name Authority File as offered on any online system, such as OCLC, WLN, etc.

15. Does your library currently use the LC Name Authority File as offered on any online system?

YES _____ NO _____

(If you answered YES, please indicate which system: _____)

(If you answered NO, please skip to question 21.)

16. Please list briefly all the purposes for which your library uses the LC Name Authority File on a system, including uses by public service staff and any unique uses you have found for the file.

17. Please check the approximate number of LC authority records staff at your library referred to on a system during the past 30 days:

_____ 100 or less
_____ 101 - 500
_____ 501 - 1,000
_____ 1,001 - 3,000
_____ 3,001 or more

18. Compared to six months ago, has the use of the LC Name Authority File by staff at your library increased, decreased or remained the same?

_____ Increased
_____ Decreased
_____ Remained the Same

19. If there has been a change in amount of use, describe briefly the cause(s) of the change:

20. Please list any problems staff members at your library have encountered in using the LC Name Authority File on a system. (We are interested in problems with the file rather than problems with the system on which it is mounted.)

Questions 21-26 concern your library's use of Name Authorities, Cumulative Microform Edition, the quarterly microfiche version of the LC Name Authority File published by the Library of Congress.

21. Does your library currently subscribe to Name Authorities, Cumulative Microform Edition?

YES _____ NO _____

(If you answered NO, please skip to question 27.)

22. To how many copies of Name Authorities does your library currently subscribe?

_____

23. To how many copies of Name Authorities do you expect your library will subscribe at this time next year? _____

24. If your answer to number 23 differs from your answer to number 22, please briefly explain the reason(s) for the change in number of subscriptions:

25. Please list briefly the purpose(s) for which Name Authorities is used in your library:

26. Please list any problems your institution has encountered in using Name Authorities:

Questions 27-36 concern the Name Authority File Service, described in the cover letter accompanying this questionnaire.

27. Would you expect your library to use the Name Authority File Service when it is available?

YES _____ NO _____

(If you answered NO, please briefly indicate your reason(s) on the back of this page.)

28. Assuming the Name Authority File Service were available in the following formats, which format(s) would you expect your library to use? (You may check more than one.)

_____ Online
_____ Magnetic tape
_____ Microform
_____ Paper copy (A possibility only)
_____ Other (Please explain)

29. What special features, if any, would you want or expect an online Name Authority File Service to have?

30. What special features, if any, would you want or expect a microform Name Authority File Service to have?

31. What special features, if any, would you want or expect a paper copy format to have?

32. Online access to the Name Authority File Service will have to be priced in a fair and reasonable way. Which of the following way(s) of charging would you prefer? (If you indicate more than one, please indicate a priority, with "1" indicating first preference, etc.)

_____ Price based on amount of time spent on the system

_____ Price based on number of headings found; a per record charge

_____ Price a subscription charge (if you choose this one, please suggest how that charge might be set; e.g., by amount of cataloging done the previous year, etc.)

_____ Other (Please explain)

33. Please use this space to make suggestions about pricing of microform, tape and paper copy editions of the Name Authority File Service.

34. What changes, if any, would you expect the availability of the Name Authority File Service to make in the operations and services of your library?

35. What changes can you foresee in your library that, over the next five years, might affect your use of the Name Authority File Service?

36. Please use this space, and the back of this page, to make any other comments or suggestions about the Name Authority File Service.

Thank you for taking time to complete this questionnaire.

Please mail the completed questionnaire by February 5 to:

Council on Library Resources
One Dupont Circle, N.W., Suite 620
Washington, D.C. 20036

APPENDIX E

GLOSSARY

LASP	Linked Authority Systems Project - the planning project for LSP/SNI and LSP/AI.
LSP	Linked Systems Project - the project to develop a standard computer-to-computer link between LC, RLIN, and WLN.
LSP/SNI	/Standard Network Interconnection - the telecommunications part of the LSP link.
LSP/AI	/Authority Implementation - the authority application part, i.e., contribution, distribution and search, of the LSP link.
NACO	Name Authority Cooperative - the cooperative project to build a name and series authority database.
NACO/LSP	That portion of the NACO project that contributes using the Linked Systems software.
NACO/Terminal	That portion of the NACO project that contributes using a terminal-to-LC link with LC (e.g., Harvard, Chicago).
NAFS	Name Authority File Service - collective designation for the products made available from the NACO file.